FARM FOOD SAFETY PLAN TEMPLATE

Compiled by

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The On Farm Food Safety Template is intended for farmers to alter as appropriate to fit their farm and processes. Farmers should take care to make sure that their changes still meet the requirements of the Harmonized Audit Standard. Farmers must create farm-specific Standard Operating Procedures and prepare their own plan that is based on their specific operation.

Disclaimer

Information in this workbook and all templates are presented for planning purposes only**.** By following these guidelines and using the templates, you are not automatically in compliance with GAP practices, the Harmonized Audit Standards, or the Food Safety Modernization Act Produce or Preventative Controls Rules. The goal of these materials is to provide a general template for starting to develop a food safety plan. The materials included here are not comprehensive, but are provided here as the basic beginnings of your Standard Operating Procedures and Log Sheets for your food safety plan. Aspects of individual operations may not be covered in this plan.

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1.	**General Questions**			
1.1.	Management Responsibility			
1.1.1.	A food safety policy shall be in place.	A written policy shall outline a commitment to food safety, in general terms, how it is implemented and how it is communicated to employees, and be signed by Senior Management.	The auditor observes the food safety policy, observes that it is signed by Senior Management, and observes that it has been communicated to all employees in a manner that can be understood.	The operation creates or revises the policy, or its communication to employees, to be in compliance.
1.1.2.	Management has designated individual(s) with roles, responsibilities and resources for food safety functions.	The food safety plan shall designate who has the responsibility and authority for food safety, including a provision for the absence of key personnel. Twenty-four hour contact information shall be available for these individuals in case of food safety emergencies. The organization's senior management shall determine and provide, in a timely manner, the resources needed to implement and maintain the food safety plan.	Auditor observes that the food safety plan has identified individual(s) for key food safety activities. Auditor verifies that procedures include provisions for when the identified individual is not present. Auditor observes whether Senior Management has provided the resources needed to implement and maintain the food safety plan.	Operation identifies individual(s) for key food safety activities in the food safety plan. Operation identifies actions to be taken when the identified individual(s) are not present. Senior Management commits resources needed to implement and maintain the food safety plan.
1.1.3.	There is a disciplinary policy for food safety violations.	There shall be a policy that establishes corrective actions for personnel who violate established food safety policies or procedures.	Auditor observes the policy and checks for examples of enforcement	The operation creates or revises the policy, or its communication to employees, to be in compliance.
1.2.	Food Safety Plan			
1.2.1.	There shall be a written food safety plan that covers the operation.	The food safety plan shall identify all locations of the operation and products covered by the plan. The plan shall address potential physical, chemical, and biological hazards and hazard control procedures, including monitoring, verification and recordkeeping, for the following areas: water, soil amendments, field sanitation, production environment, and worker practices.	Auditor shall observe the food safety plan and verify that the plan has considered potential biological, chemical and physical hazards and has identified preventive controls for hazards that may reasonably affect food safety.	Operation develops or completes a food safety plan for all locations of operation.

	Requirement	Procedure	Verification	Corrective Action
1.2.2.	The food safety plan shall be reviewed at least annually.	Operation shall be responsible for reviewing their food safety plan at least annually, documenting the review procedure and revising the plan as necessary. Updated or revised on date shall be indicated.	Auditor reviews last food safety plan review.	Operation reviews food safety plan and documents review.
1.3.	Documentation & Recordkeeping			
1.3.1.	Documentation shall be kept that demonstrates the food safety plan is being followed.	Documents and records of procedures, standard operation procedures (SOPs) and policies shall be in place for meeting each of the food safety standards identified in the Food Safety Plan.	Auditor reviews food safety plan and verifies that all required documentation is available.	Operation develops missing documentation or recordkeeping procedures.
1.3.2.	Documentation shall be readily available for inspection.	Documents and records may be maintained on-site or at an off-site location, or accessible electronically (e.g., MSDS), and shall be available for inspection in a reasonable timeframe or as required by prevailing regulation.	Auditor verifies that required documentation can be accessed in a reasonable timeframe.	Operation defines in food safety plan where and how documentation is maintained and expected retrieval time.
1.3.3.	Documentation shall be retained for a minimum period of two years, or as required by prevailing regulation.	Document and record handling policy or procedures require that documentation required by the food safety plan shall be retained for a minimum of two years, or as required by prevailing regulation.	Auditor reviews document handling procedures and verifies that required documentation is available for at least two years, or as required by prevailing regulation.	Operation revises documentation procedures.
1.4.	Worker Education and Training			
1.4.1.	All personnel shall receive food safety training.	All personnel shall receive training in the food safety policy and plan, food safety procedures, sanitation and personal hygiene appropriate to their job responsibilities. Personnel shall receive training at hire and refresher training at prescribed frequencies. Documentation of training is available.	Auditor reviews program of required training and examines training records for evidence of compliance.	Operation shall develop and deliver required training.

	Requirement	Procedure	Verification	Corrective Action
1.4.2.	Personnel with food safety responsibilities shall receive training sufficient to their responsibilities.	The individual designated for food safety responsibilities demonstrates knowledge of food safety principles. Food safety designate has completed at least one formal food safety course/workshop or by job experience.	Auditor reviews the evidence of the individual's training relevant to produce food safety, such as a degree or course certificate or receipt, or attendance at a relevant food safety meeting, or company training record. If the operation passes the food safety audit, the food safety individual's training is deemed adequate.	Individual must obtain demonstrable food safety training.
1.4.3	Subcontractors are held to the relevant food safety standards as they would be as employees.	Operations shall have procedures and/or records to demonstrate that subcontractors whose activities can affect food safety have been informed of and, to the extent that can be verified, are in compliance with the relevant requirements of the Field Operations and Harvesting standards.	Auditor reviews Operation's evidence that subcontractors are trained to the same food safety requirements as employees would be and, if practical during the audit, observes subcontractors for compliance.	Operation obtains evidence, trains or discontinues using subcontractors.
1.5.	Sampling and Testing			
1.5.1.	Where laboratory analysis is required in the Food Safety Plan, testing shall be performed by a GLP laboratory using validated methods.	Operation utilizes laboratories that have, at minimum, passed a Good Laboratory Practices (GLP) audit or participates in a Proficiency Testing program, and utilizes BAM, AOAC International or testing methods that have been validated for detecting or quantifying the target organism(s) or chemical(s).	Auditor reviews Operation's evidence that only GLP laboratories and validated methods are used.	Operation discontinues using non-GLP laboratory and non-validated testing methods.

	Requirement	Procedure	Verification	Corrective Action
1.5.2.	Where microbiological analysis is required in the food safety plan, samples shall be collected in accordance with an established sampling procedure.	Operation utilizes a written sampling protocol when collecting samples for microbiological testing.	Auditor observes that the Operation has a sampling protocol for each type of microbiological testing required in the Operation's food safety plan.	Operation develops or obtains written sampling protocols for each type of microbiological testing required in their food safety plan.
1.5.3.	Tests, their results and actions taken must be documented.	All results for microbiological testing required in the Operation's food safety plan shall be recorded and the records maintained for two years.	Auditor reviews Operation's recordkeeping of microbiological test results.	Operation maintains for at least two years test records for all required microbiological tests.
1.5.4.	All required testing shall include test procedures and actions to be taken based on the results.	For all microbiological testing required by the food safety plan, Operation has a written testing procedure that includes test frequency, sampling, test procedures, responsibilities and actions to be taken based on results. If finished product is tested for pathogens or other adulterants, Operation's procedures require that it shall not be distributed outside the operation's control until test results are obtained.	Auditor reviews the Operation's microbiological testing procedures for completeness.	Operation revises testing procedures for completeness and to meet expectations of the food safety plan.
1.6.	Traceability			
1.6.1.	A documented traceability program shall be established.	Records that enable reconciliation of product delivered to recipients (one step forward) shall be maintained except for direct to consumer sales. Records shall be maintained that link product with source of the produce or production inputs, e.g., soil amendments, fertilizers, seeds/transplants, agricultural chemicals, homemade preparations (one step backward). Records shall include the date of harvest, quantities, farm identification (field or block), transporter and non-transporter. Additional information may be included. Contents and retention of records shall be consistent with applicable regulations.	Auditor reviews traceability program and verifies operation's ability to trace product accurately one step forward and one step back.	Operation establishes an effective traceability program.

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1.6.2.	A trace back and trace forward exercise shall be performed at least annually.	The trace back and trace forward exercise shall achieve accurate traceability within 4 hr or as required by applicable regulations. Trace exercise shall achieve 100% reconciliation of product to recipients.	Auditor reviews records of most recent trace exercise. If no trace exercise was performed in the past year, the operation will perform the exercise during the audit.	Operation performs exercise and/or improves traceability program to achieve accurate reconciliation.
1.7.	Recall Program			
1.7.1.	A documented recall program, including written procedures, shall be established.	The recall program shall have a designated recall team. A mock recall exercise shall be performed at least annually at the operation being audited. The mock recall shall include the trace back and trace forward exercise and shall be completed as stated in the program and in compliance to applicable regulations.	Auditor reviews records of most recent mock recall performed at the operation.	Operation develops recall team and recall plan, and tests the plan for effectiveness.
1.8.	Corrective Actions			
1.8.1.	The operation shall have documented corrective action procedures.	A documented Corrective Action is required for an observation or audit that contains a non-conformance with food safety requirements. The responsibility, methods, and timelines to address Corrective Actions shall be documented and implemented.	Auditor reviews corrective action procedures and examines records for evidence of compliance.	Operation develops and implements corrective actions procedures.
1.9.	Self-audits			
1.9.1.	The operation shall have documented self-audit procedures.	Internal audits will be conducted at a minimum annually by an assigned individual utilizing this standard to assist in the self-audit. All aspects of the Operation's food safety plan will be audited and a written record of required corrective action will be documented.	Auditor reviews internal audit procedures and examines records for evidence of compliance.	Operation develops and implements internal audit procedures.
2.	**Field Production**			
2.1.	Field History and Assessment			

	Requirement	Procedure	Verification	Corrective Action
2.1.1.	The food safety plan shall, initially and at least annually thereafter, evaluate and document the risks associated with land use history and adjacent land use including equipment and structures.	When land use history or adjacent land use indicates a possibility of physical, chemical or biological contamination, preventive controls shall be performed and documented to mitigate food safety risk. The assessment is re-performed, and documented, at least annually for environmental conditions or risk awareness that has changed since the last assessment. The assessment shall include indoor growing facilities and structures such as green houses and hydroponics.	Auditor reviews food safety plan to verify that risks associated with field history, adjacent land use and indoor growing facilities have been evaluated at least annually and preventive controls implemented for identified risks.	Operation evaluates and documents risks associated with land use history, adjacent land use, indoor growing facilities and implements preventive controls for identified risks.
2.1.2.	For indoor growing and field storage facilities, facility shall be designed, constructed and maintained in a manner that prevents contamination of produce.	Facility and equipment structures and surfaces (floors, walls, ceilings, doors, frames, hatches, etc.) shall be constructed in a manner that facilitates cleaning and sanitation and does not serve as harborage for contaminants or pests. Chill and cold storage loading dock areas shall be appropriately sealed, drained and graded. Fixtures, ducts, pipes and overhead structures shall be installed and maintained so that drips and condensation do not contaminate produce, raw materials or food contact surfaces. Water from refrigeration drip pans shall be drained and disposed of away from product and product contact surfaces. Drip pans and drains shall be designed to assure condensate does not become a source of contamination. Air intakes shall not be located near potential sources of contamination.	Auditor observes facility and equipment for evidence that the facility can be cleaned and maintained to prevent product contamination.	Facility deficiencies are corrected. Affected product is evaluated for potential contamination and disposition.
2.2.	Worker Health/Hygiene and Toilet/Handwashing Facilities			
2.2.1.	Operation shall have a policy for toilet, hygiene, and health.	Each operation shall establish written policies for their specific operations, which shall be in compliance with prevailing regulations for Worker Health and Hygiene Practices.	Auditor ensures that policies for toilet, hygiene and health exist.	Operation develops written policies covering toilets, hygiene and health.

	Requirement	Procedure	Verification	Corrective Action
2.2.2.	Employees and visitors shall follow all personal hygiene practices as designated by the operation.	Operation's hygiene policies shall apply to all employees, contractors, visitors, buyers, product inspectors, auditors, and other personnel in the field. The operation shall designate competent supervisory personnel to ensure compliance by all workers, visitors, and field personnel with the requirements in this section.	Auditor observes personnel in field for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.2.3.	Toilet facilities shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination and are directly accessible for servicing.	Toilet and handwashing facilities are situated during operation and servicing, and maintained so as not to pose a hazard to the produce or other opportunity for contamination.	Auditor visually and by records verifies that toilet and handwashing facilities are not positioned, leaking or serviced in a manner that poses a risk of produce contamination.	Toilet or handwashing facility is replaced, repaired or repositioned to be compliant.
2.2.4.	Toilet facilities shall be of adequate number, easily accessible to employees and in compliance with applicable regulation.	The operation will have verification that the number of toilet facilities and their location relative to employees meets the more stringent of federal, state or local regulations.	Auditor verifies that the number of available toilet facilities and their location is compliant with prevailing regulation for the number of employees.	Operation obtains a sufficient number of toilet facilities to be compliant.
2.2.5.	Toilet and wash stations shall be maintained in a clean and sanitary condition.	Toilet paper shall be available in toilet facility. Wash stations shall be located with the field sanitation units and include hand wash facilities with water that meets the microbial standard for drinking water, hand soap, disposable towels or other hand drying device, towel disposal container, and a tank that captures used hand wash water for disposal. These stations shall be provided inside or adjacent to toilet facilities.	Auditor observes toilet and handwashing facilities for compliance. Auditor observes checklist or other evidence of a documented system for tracking cleaning of toilets.	Toilet or handwashing facility is replaced, repaired or maintained to be compliant.

	Requirement	Procedure	Verification	Corrective Action
2.2.6.	Personnel shall wash their hands at any time when their hands may be a source of contamination.	Personnel shall wash their hands prior to start of work, after each visit to a toilet, after using a handkerchief/tissue, after handling contaminated material, after smoking, eating or drinking, after breaks and prior to returning to work and at any other time when their hands may have become a source of contamination.	Auditor observes personnel in field for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.2.7.	Signage requiring handwashing is posted.	Signage in applicable languages and/or pictures shall be provided adjacent to hand wash facilities requiring people to wash their hands after each toilet visit.	Auditor verifies that signage is present adjacent to all hand wash facilities and is in appropriate language or pictures to clearly communicate requirements to all employees.	Operation obtains and posts signage to be compliant.
2.2.8.	Clothing, including footwear, shall be effectively maintained and worn so as to protect product from risk of contamination.	Operation shall have a policy that employee clothing shall be clean at the start of the day and appropriate for the operation.	Auditor reviews policy and observes compliance with operation's policy.	Operation develops or revises clothing policy. Retraining is performed and documented.
2.2.9.	If gloves are used, the operation shall have a glove use policy.	If rubber, disposable, cloth or other gloves are used in contact with product, the operation shall have a glove use policy that specifies how and when gloves are to be used, cleaned, replaced and stored. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.	If gloves are used, auditor observes glove use for compliance with the operation's policy and current industry practices or regulatory requirements.	Operation develops or revises glove policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

	Requirement	Procedure	Verification	Corrective Action
2.2.10.	Protective clothing, when required, shall be maintained, stored, laundered and worn so as to protect product from risk of contamination.	If protective clothing is used in proximity to product, the operation shall have a policy or procedures for how and when protective clothing are to be used, cleaned, replaced and stored. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.	If protective clothing is used, auditor observes use for compliance with the operation's policy and current industry practices or regulatory requirements.	Operation develops or revises protective clothing policy or procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.2.11.	When appropriate, racks and/or storage containers or designated storage area for protective clothing and tools used by employees shall be provided.	When employees wear protective clothing, such as aprons and gloves, the Operation shall have a policy for how the clothing and tools shall be stored when not in use so as to avoid potential contamination.	If employees wear protective clothing, auditor observes whether storage areas are designated, available and used.	Operation obtains and positions racks and storage containers as necessary. Retraining is performed and documented.
2.2.12.	The wearing of jewelry, body piercings and other loose objects (e.g. false nails) shall be in compliance to company policy and applicable regulation.	Operation shall have a policy that personal effects such as jewelry, watches or other items shall not be worn or brought into fresh fruit and vegetable production areas if they pose a threat to the safety and suitability of the food. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.	Auditor observes personnel in field for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.2.13.	The use of hair coverings shall be in compliance to company policy and applicable regulation.	The Operation shall have a policy that addresses use of hair coverings (e.g., hair nets, beard nets, caps), which is in compliance with prevailing regulation.	Auditor reviews the Operation's policy and observes employees for compliance.	Operation develops policy. Retraining is performed.
2.2.14.	Employees' personal belongings shall be stored in designated areas.	Operation shall have a policy for when and how employee's personal belongings shall be stored so as not to be a source of product contamination.	Auditor observes personnel in field for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

	Requirement	Procedure	Verification	Corrective Action
2.2.15.	Smoking, chewing, eating, drinking (other than water), urinating, defecating or spitting is not permitted in any growing areas.	Operation shall have policy prohibiting smoking, eating, chewing gum or tobacco, drinking other than water except in designated areas. Such areas shall be designated so as not to provide a source of contamination. Operation shall have policy prohibiting urinating or defecating in any growing area.	Auditor observes personnel in field for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.2.16.	Operation shall have a written policy that break areas are located so as not to be a source of product contamination.	Break areas shall be designated and located away from food contact/handling zones and production equipment.	Auditor observes break areas for evidence of compliance with operation policy.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.2.17.	Drinking water shall be available to all field employees.	Drinking water, which meets drinking water standards, shall be easily accessible to field personnel and in compliance with applicable regulation. Bottled water or potable drinking water stations with single-use cups and a trash receptacle shall be available to all field employees.	Auditor observes evidence of drinking water accessibility and operation's evidence that water supplied to personnel meets drinking water standards.	Operation makes drinking water available to field employees, in compliance with prevailing regulation.
2.2.18.	Workers and field personnel who show signs of illness shall be restricted from direct contact with produce or food-contact surfaces.	Operation shall have a written policy that restricts personnel who show signs of illness (e.g., vomiting, jaundice, diarrhea) from contact with product or food contact surfaces. Policy shall require that any person so affected immediately report illness or symptoms of illness to the management.	Auditor reviews policy and observes field personnel for evidence of compliance.	Operation develops and implements policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.2.19.	Personnel with exposed cuts, sores or lesions shall not be engaged in handling product.	Minor cuts or abrasions on exposed parts of the body are acceptable if covered with a non-permeable covering, bandage or glove. Bandages on hands shall be covered with gloves in compliance with operation's glove policy.	Auditor observes personnel in field for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

	Requirement	Procedure	Verification	Corrective Action
2.2.20.	Operation shall have a blood and bodily fluids policy.	There shall be a written policy specifying the procedures for the handling/ disposition of food or product contact surfaces that have been in contact with blood or other bodily fluids.	Auditor reviews policy and observes operation for evidence of compliance.	Operation develops and implements policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.2.21.	First aid kits shall be accessible to all personnel.	The kits shall be readily available in the vicinity of field work and maintained in accordance with prevailing regulation. The kit materials shall be kept in a sanitary and usable condition.	Auditor observes that provisions exist for first aid kit to be readily available in vicinity of field work and is stocked in accordance with prevailing regulation.	Operation obtains and stocks a first aid kit and ensures it is readily accessible near field personnel.
2.3.	Agricultural Chemicals /Plant Protection Products			
2.3.1.	Use of agricultural chemicals shall comply with label directions and prevailing regulation.	Agricultural chemicals, including post-harvest chemicals such as biocides, waxes and plant protection products, must be registered for such use as required by prevailing regulation, and used in accordance with label directions including application rates, worker protection standards, personal protection equipment, container disposal, storage, and all requirements specified for the chemical or compound. Records of agricultural use are maintained.	Auditor reviews agricultural chemical use records for evidence of compliance with approved uses or label directions.	Operation develops and maintains agricultural chemical use records and maintains evidence of proper use of each chemical use. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.3.2.	If product is intended for export, agricultural chemical use, including post-harvest chemicals, shall consider requirements in the intended country of destination.	The operation shall have procedures, such as pre-harvest interval and application rate, sufficient to meet the MRL entry requirements of the country(ies) in which the product is intended to be traded, if known during production.	Auditor reviews operation's procedure for complying with agricultural chemical restrictions in countries of destination. If the country of destination is unknown during production, this item is not applicable.	Operation develops procedures, and diverts non-compliant product to a market in which the product meets standards.

	Requirement	Procedure	Verification	Corrective Action
2.3.3.	Agricultural chemicals shall be applied by trained, licensed or certified application personnel, as required by prevailing regulation.	Operation maintains records demonstrating that all personnel responsible for chemical applications are trained and/or licensed, or supervised by licensed personnel, in compliance with prevailing regulation.	Auditor reviews records demonstrating that application personnel are licensed and/or trained in compliance with prevailing regulation.	Operation utilizes application personnel who are appropriately licensed and/or trained.
2.3.4.	Water used with agricultural chemicals shall not be a source of product or field contamination.	Water used to dilute or deliver agricultural chemicals shall be from a source in compliance with the Water System Risk Assessment and Water Management Plan, consistent with current industry practices or regulatory requirements for that commodity.	Auditor reviews the Water System Risk Assessment for evidence that water used with agricultural chemicals has been considered, and that agricultural chemical use policies are in compliance with the Water System Risk Assessment.	Operation revises the Water System Risk Assessment. Operation uses a water source in compliance with the Water System Risk Assessment. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.3.5.	Agricultural chemical disposal shall not be a source of product or field contamination.	Operation shall have procedures for disposal of waste agricultural chemicals and for cleaning of application equipment that protects against contamination of product and growing areas.	Auditor reviews procedures and observes chemical handling records for evidence of compliance.	Operation develops and implements procedures. Steps are taken to mitigate any contamination events.
2.4.	Agricultural Water			
2.4.1.	Water System Description			

	Requirement	Procedure	Verification	Corrective Action
2.4.1.1.	A water system description shall be available for review.	Water sources and the production blocks they may serve shall be documented and current. The description shall include one or more of the following: maps, photographs, drawings (hand drawings are acceptable) or other means to communicate the location of water source(s), permanent fixtures and the flow of the water system (including holding systems, reservoirs or any water captured for re-use). Permanent fixtures include wells, gates, reservoirs, valves, returns and other above ground features that make up a complete irrigation system shall be documented in such a manner as to enable location in the field.	Auditor reviews water system description or map, and verifies accuracy during field inspection.	Operation develops or corrects the water system description or map.
2.4.1.2.	The water source shall be in compliance with prevailing regulations.	Agricultural water shall be sourced from a location and in a manner that is compliant with prevailing regulations.	Auditor determines whether the water source is compliant with regulations relevant for the intended use of the water.	Operation discontinues use of the source until compliant with regulations. Affected produce is evaluated for potential contamination and disposition.
2.4.1.3.	Agricultural water systems shall not be cross-connected with human or animal waste systems.	Water systems intended to convey untreated human or animal waste shall be separated from conveyances utilized to deliver agricultural water.	Auditor reviews water system for cross-connections with human or animal waste conveyances.	Operation discontinues use of the system until they are separated.
2.4.2.	Water System Risk Assessment			

	Requirement	Procedure	Verification	Corrective Action
2.4.2.1.	An initial risk assessment shall be performed and documented that takes into consideration the historical testing results of the water source, the characteristics of the crop, the stage of the crop, and the method of application.	A review or new assessment shall be conducted seasonally and any time there is a change made to the system or a situation occurs that could introduce an opportunity to contaminate the system. The risk assessment shall address potential physical, chemical, and biological hazards and hazard control procedures for the water distribution system.	Auditor reviews the risk assessment for completeness of consideration of potential hazards.	Operation develops or updates the risk assessment.
2.4.3.	Water Management Plan			
2.4.3.1.	There shall be a water management plan to mitigate risks associated with the water system on an ongoing basis.	The water management plan shall include the following: preventive controls, monitoring and verification procedures, corrective actions, and documentation. The plan shall be reviewed following any changes made to the water system risk assessment and adjusted accordingly to incorporate such changes. Training and/or retraining of personnel having oversight or performance duties shall be documented.	Auditor reviews the water management plan for accuracy and completeness relative to the risk assessment.	Operation develops or updates the water management plan.
2.4.3.2.	Water testing shall be part of the water management plan, as directed by the water risk assessment and current industry standards or prevailing regulations for the commodities being grown.	As required, there shall be a written procedure for water testing during the production and harvest season, which includes frequency of sampling, who is taking the samples, where sample is taken, how the sample is collected, type of test and acceptance criteria. If all agricultural water is sourced from a municipal source, the municipal testing shall suffice. The frequency of testing and point of water sampling shall be determined based on the risk assessment and current industry standards for commodities being produced.	Auditor verifies that a water testing program is in compliance with the risk assessment and current industry standards and is included in the water management plan.	Operation develops a testing program consistent with risks identified in the risk assessment and with current industry standards for the commodities being produced.

	Requirement	Procedure	Verification	Corrective Action
2.4.3.3.	The testing program shall be implemented consistent with the water management plan.	Testing shall be performed and documented according to procedures described in the water management plan.	Auditor reviews testing records for compliance with the written plan.	Operation shall revise testing to be in compliance with the written plan. The corrective actions noted in the water management plan shall be followed until the conditions have been mitigated and the non-conformity has been resolved.
2.5.	Animal Control			
2.5.1.	The operation has a written risk assessment on animal activity in and around the production area.	There shall be a written assessment of the growing fields and adjacent land, prior to each growing season, focusing on domestic and wild animal activity including grazing and feeding operations, noting crop characteristics, type and approximate number of animals, proximity to the growing field, water sources, and other relevant factors.	Auditor reviews the written assessment to ensure it has been performed for this season and is complete.	Operation performs and documents the assessment.
2.5.2.	The operation routinely monitors for animal activity in and around the growing area during the growing season.	There shall be scheduled monitoring of growing fields and adjacent land for evidence of animal activity. A frequency of monitoring and assessment shall be established based on production factors, such as the crop, geography, and other conditions.	Auditor reviews monitoring records to ensure the frequency of monitoring is consistent with the schedule.	Operation develops and implements a monitoring schedule.
2.5.3.	Based on the risk assessment, there shall be measures to prevent or minimize the potential for contamination from animals, including domestic animals used in farming operations.	The operation shall have risk-appropriate actions to prevent or minimize the potential for contamination of produce with pathogens from animal feces, including from domestic animals used in farming operations. There shall be a written record of any mitigation or corrective actions. Preventive measures and corrective actions shall comply with all local, state and federal regulations concerning animal control and natural resource conservation.	Auditor reviews preventive measures and corrective action plans.	Operation develops and implements risk-appropriate corrective actions for animal intrusions reasonably likely to contaminate produce in the field.
2.6.	Soil Amendments			

	Requirement	Procedure	Verification	Corrective Action
2.6.1.	The food safety plan shall address soil amendment risk, preparation, use, and storage.	If animal-based soil amendments or biosolids are used, records of composition, dates of treatment, methods utilized and application dates must be documented. Evidence of processing adequate to eliminate pathogens of human concern, such as letter of guarantee, certificate of analysis (COA) or any test results or verification data (e.g., time and temperature) demonstrating compliance with process or microbial standards, shall be documented. Such soil amendments must be produced and applied in accordance with applicable federal, state, or local regulations.	Auditor reviews soil amendment records for completeness and evidence of compliance with prevailing regulations. If biosolids are used, it shall be noted.	Operation discontinues use of untreated, partially treated or undocumented animal-based soil amendments or biosolids. Operation develops and implements policies to obtain treatment information for all animal-based soil amendments.
2.6.2.	If a soil amendment containing raw or incompletely treated manure is used, it shall be used in a manner so as not to serve as a source of contamination of produce.	If such a product is used, there shall be documentation of the composition, and time and method of application. Such use will be consistent with current industry practices or regulatory restrictions for that commodity.	Auditor reviews records for any soil amendment use that may contain raw or incompletely treated manure.	Operation discontinues use, or develops and implements policies to safely use animal-based soil amendments that may contain raw or incompletely treated manure. Produce grown without such controls are either diverted to thermal-processed products or destroyed.
2.7.	Vehicles, Equipment, Tools and Utensils			
2.7.1.	Equipment, vehicles, tools utensils and other items or materials used in farming operations that may contact produce are identified.	Operation maintains a list of equipment, vehicles, tools, utensils and other items or materials that may pose a risk of produce contamination during normal use.	Auditor reviews the list for completeness.	Operation develops a list of equipment, vehicles, tools and utensils that may pose a risk of produce contamination during normal use.

	Requirement	Procedure	Verification	Corrective Action
2.7.2.	Equipment, vehicles, tools and utensils used in farming operations which come into contact with product are in good repair, and are not a source of contamination of produce.	The operation shall develop, implement, and schedule repair, cleaning, sanitizing, storage and handling procedures of all food contact surfaces to reduce and control the potential for contamination. As necessary for food safety, vehicles and equipment shall be properly calibrated, operated, maintained, and used as intended. Equipment traffic flow is prevented from traveling through an untreated manure area into the harvesting field. These procedures shall be documented. Product contact tools, utensils and equipment shall be made of materials that can be cleaned and sanitized. Procedures include equipment and vehicles that are in the field infrequently.	Auditor observes production and harvest vehicles, equipment, tools and utensils which may come into contact with produce for evidence of food safety risks. Auditor reviews maintenance, cleaning and sanitation records that demonstrate compliance with procedures.	Operation develops maintenance, cleaning and sanitation procedures for equipment, vehicles, tools and utensils that may pose a risk for produce contamination. Affected product is evaluated for potential contamination and disposition.
2.7.3.	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of chemical hazards.	Operation shall have a written procedure to address the spills and leaks (fuel, oil, hydraulic fluids) which might occur during equipment operation in the field.	Auditor observes production and harvest vehicles, equipment, tools and utensils which may come into contact with produce for evidence of food safety risks.	Operation repairs leaks and cleans any food contact surfaces. Affected product is evaluated for potential contamination and disposition.
2.7.4.	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of physical hazards.	Operation has a glass and brittle plastic policy that addresses glass on production equipment and in growing area. Inspections performed in compliance with the policy shall be documented.	Auditor observes production and harvest vehicles, equipment, tools and utensils which may come into contact with produce for evidence of food safety risks and for compliance with the glass and brittle plastic policy.	Operation develops policy. Retraining is performed. Source of food safety risk is mitigated.

	Requirement	Procedure	Verification	Corrective Action
2.7.5.	Cleaning and sanitizing procedures do not pose a risk of product contamination.	Equipment cleaning and sanitizing operations shall be conducted away from the product and other equipment to reduce the potential for contamination. Water used for cleaning and sanitizing shall meet the microbial standards for drinking water.	Auditor reviews cleaning and sanitizing procedures for steps to prevent contamination of produce, and observes operation's evidence of compliance.	Operation develops and implements procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
2.7.6.	Water tanks are cleaned at a sufficient frequency so as not to be a source of contamination.	There shall be a written procedure for cleaning water tanks, such as those used for dust control, the water from which may contact produce in the field.	Auditor reviews water tank cleaning procedures for steps to prevent contamination of produce, and observes operation's evidence of compliance.	Operation develops and implements procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.	**Harvesting**			
3.1.	Preharvest Assessment			
3.1.1.	A preharvest risk assessment shall be performed.	The Operation shall have a preharvest assessment procedure, which describes when the assessment is performed and that it includes an evaluation of conditions that may be reasonably likely to result in physical, chemical, or biological contamination of the produce, and demonstrates that the operation is in compliance with the food safety plan. Results of the evaluation shall be documented.	Auditor reviews most recent preharvest assessment for completeness and consistency with the food safety plan.	Operation develops and implements a preharvest assessment procedure.
3.2.	Water/Ice			
3.2.1.	Operation has procedures for water used in contact with product or food contact surfaces.	Standard Operating Procedures (SOPs), including water-change schedules, shall be developed for all uses of water. Microbial and/or physical/ chemical (e.g., test strips) testing shall be performed, as appropriate to the specific operation, to demonstrate that acceptance criteria have been met.	Auditor observes evidence of existence of water use SOPs.	Operation develops the SOPs.

	Requirement	Procedure	Verification	Corrective Action
3.2.2.	Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food-contact surfaces.	If water or ice directly contacts the harvested crop or is used on food-contact surfaces, such as in the field, as the final wash step prior to consumer packaging, or as a cooling aid in a consumer package, operation's water use SOP requires that water or ice when applied meets the microbial standards for drinking water, as defined by prevailing regulation. Water may be treated (e.g., with chlorine) to achieve the microbial standards or to prevent cross-contamination. Ice and water shall be sourced/manufactured, transported, and stored under sanitary conditions. Special considerations or variances may be appropriate for some crops, e.g. cranberries and watercress, where deliberate flooding of the field is part of production and harvest practices.	Auditor reviews operation's policy regarding water quality and its transport, and observes evidence that water or ice that contacts harvested crop or food contact surfaces meets the microbial standards for drinking water.	Operation discontinues using water or ice that does not meet the microbial standards of drinking water. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.2.3.	Water use SOPs address treatment of re-circulated water, if used.	Operation's water use SOPs require re-circulated water to be treated using an approved antimicrobial to prevent it from becoming a source of contamination, according to prevailing regulation or industry specific standards for the commodity.	Auditor reviews water use SOP for completeness, and observes water treatment records for adequacy and consistency of treatment.	Operation discontinues using re-circulated water that is not treated sufficiently to prevent contamination of the produce. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.2.4.	Water use SOPs address condition and maintenance of water-delivery system.	The water-delivery system shall be maintained so as not to serve as a source of contamination of produce, water supplies or equipment with pathogens, or to create an unsanitary condition.	Auditor reviews the SOP for inclusion of condition and maintenance of water-delivery system, and observes maintenance records for evidence of compliance.	Operation revises SOP and implements maintenance procedures.

	Requirement	Procedure	Verification	Corrective Action
3.2.5.	If applicable to the specific commodity, water use SOPs address control of wash water temperature.	For produce demonstrated as being susceptible to microbial infiltration from wash water, wash water temperature differentials during immersion shall be considered.	If applicable to the commodity being washed, auditor reviews the SOP for inclusion of water temperature control, and observes monitoring records for evidence of compliance.	Operation revises SOP to address and control wash water temperature.
3.3.	Containers, Bins and Packaging Materials			
3.3.1.	Operation has written policy regarding storage of harvesting containers.	Harvesting containers shall be stored in a manner so as not to serve as a source of contamination to the extent feasible and appropriate.	Auditor observes whether operation has a policy regarding storage of harvesting containers used in the field. Auditor observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented.
3.3.2.	Operation has written policy regarding inspection of food contact containers prior to use.	Food-contact totes, bins, packing materials, other harvest containers, and pallets shall be visually inspected, clean, intact and free of any foreign materials prior to use. Containers shall be sufficiently maintained so as not to become a source of contamination.	Auditor observes whether operation has a policy regarding inspection of food contact containers and observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented.
3.3.3.	Operation has written policy regarding acceptable harvesting containers.	The types and construction of harvest containers and packing materials shall be appropriate to the commodity being harvested and suited for their intended purpose.	Auditor observes whether operation has a policy regarding what types of containers and packing materials are acceptable for use during harvest, and observes current practices for compliance with the policy.	Operation develops the policy. Retraining is performed and documented.
3.3.4.	Operation has written policy prohibiting use of harvest containers for non-harvest purposes.	Food-contact totes, bins and other harvest containers designated for harvesting shall not be used for other purposes unless clearly marked or labeled for that purpose.	Auditor observes whether operation has a policy prohibiting use of harvest containers for other uses unless otherwise labeled, and observes current practices for compliance with the policy.	Operation develops the policy. Retraining is performed and documented.
3.4.	Field Packaging and Handling			

	Requirement	Procedure	Verification	Corrective Action
3.4.1.	Operation shall have a written policy that damaged or decayed produce is not harvested, or is culled.	Employees are trained that only sound produce appropriate for the intended use is harvested, and that produce that has been damaged to an extent that it poses a microbial food safety hazard is not harvested or is culled.	Auditor reviews written policy and evidence of employee training. Auditor inspects the harvest or sorting operation for evidence of compliance.	Operation develops the policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.4.2.	Product that contacts the ground shall not be harvested unless the product normally grows in contact with the ground.	Operation has considered and developed written policies regarding produce that comes in contact with the soil (e.g., drops). Policy shall be consistent with industry standards or prevailing regulations.	Auditor reviews written policy and evidence of employee training. Auditor inspects the harvest or sorting operation for evidence of compliance.	Operation develops the policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.4.3.	Harvest procedures shall include measures to inspect for and remove physical hazards.	Operation shall have procedures to detect glass/plastic breakage and remove possible physical contamination such as glass, metal, rocks, or other hazardous items, during harvesting operations.	Auditor inspects the harvest or sorting operation for evidence of hazard control.	Operation develops the procedure. Affected product is evaluated for potential contamination and disposition.
3.4.4.	Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce.	Operations shall not use cloths or other cleaning materials to clean produce, unless there is a procedure to prevent cross-contamination.	Auditor reviews whether operation uses cloths or other produce cleaning materials and, if so, how operation prevents cross-contamination between uses.	Operation ceases use of produce cleaning cloths, or develops procedure to prevent cross-contamination. Affected product is evaluated for potential contamination and disposition.
3.4.5.	Packaging materials shall be appropriate for their intended use.	The product contact packaging shall be appropriate to the commodity being harvested and suited for its intended purpose.	Auditor observes evidence (e.g., information from supplier, customer specification, industry standards, prevailing regulation) that the packaging does not create an unsafe condition.	Operation discontinues use of the packaging until information can be obtained demonstrating safe use. Affected product is evaluated for potential contamination and disposition.

	Requirement	Procedure	Verification	Corrective Action
3.4.6.	Packaging shall be stored in a manner that prevents contamination.	Packaging storage shall be designed to maintain packaging dry, clean and free from dirt or residues so it remains fit for the purpose. Particular care shall be taken to prevent packaging from becoming a harborage for rodents and other vermin. Packaging shall be stored separately from hazardous chemicals, toxic substances and other sources of contamination.	Auditor inspects packaging storage area for evidence of compliance.	Operation designates a storage area and practices that reduce risk of contamination. Affected packaging is evaluated for potential contamination and disposition.
3.4.7.	Operation has written policy regarding whether packing materials are permitted in direct contact with the soil.	If produce is packed in field, operation has considered and developed written policies regarding placement of packing materials directly on the soil, or whether a physical buffer (e.g., buffer bin or slip sheet) is required. Policy shall be consistent with industry standards.	Auditor observes whether operation has a policy regarding placement of packing materials used in the field in direct contact with soil. Auditor observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented.
3.5.	Postharvest Handling and Storage			
3.5.1.	Harvested produce is handled in a manner such that it is not likely to become contaminated.	Operation has a policy, in compliance with current industry practices or regulatory requirements for that commodity, regarding handling, walking, stepping, or lying on harvested produce, food contact surfaces or packaging materials, that may result in contamination.	Auditor reviews policy and produce handling practices for evidence of compliance.	Operation develops the policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.5.2.	Materials that come in contact with the produce shall be clean and in good repair.	Operation has a policy that pallets, produce bins, totes and materials that come in contact with the produce or the containers during handling or storage shall be cleaned and, if practicable, sanitized sufficient so as not to be a source of contamination.	Auditor observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented. Affected materials are evaluated for potential contamination and disposition.
3.5.3.	Harvested produce shall be stored separately from chemicals which may pose a food safety hazard.	Chemicals, including cleaning and maintenance compounds shall be stored in an area separate from harvested produce.	Auditor observes produce storage area for evidence of compliance.	Operation designates a storage area and practices that reduce risk of contamination. Affected produce is evaluated for potential contamination and disposition.

	Requirement	Procedure	Verification	Corrective Action
4.	**Transportation (Field to Storage or Packinghouse)**			
4.1.	Equipment Sanitation and Maintenance			
4.1.1.	The operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	Shipping units shall be clean, functional and free of objectionable odors before loading, in compliance with current industry practices or regulatory requirements for that commodity. Refrigeration units, if used, must be in working order.	Auditor reviews cleaning and inspection procedures and inspects produce transport vehicles for cleanliness.	Operation develops the policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
4.1.2.	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.	Personnel responsible for the loading and unloading of produce shall take steps to minimize the potential of physical damage to produce, which can introduce and/or promote the growth of pathogens. Loading/unloading equipment shall be clean and well maintained and of suitable type to avoid contamination of the produce.	Auditor observes loading/unloading procedures for evidence of practices that result in excessive damage to produce. Auditor observes loading/unloading equipment for suitability and condition.	Operation revises procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
4.1.3.	Trash shall not come in contact with produce.	The operation shall have a procedure describing how trash shall be handled and transported out of the field in a manner that does not pose a food safety risk.	Auditor reviews trash handling procedures for field operation, and observes trash handling practices for evidence of compliance.	Operation revises procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

	Requirement	Procedure	Verification	Corrective Action
1.	**General Questions**			
1.1.	Management Responsibility			
1.1.1.	A food safety policy shall be in place.	A written policy shall outline a commitment to food safety, in general terms, how it is implemented and how it is communicated to employees, and be signed by Senior Management.	The auditor observes the food safety policy, observes that it is signed by Senior Management, and observes that it has been communicated to all employees in a manner that can be understood.	The Operation creates or revises the policy, or its communication to employees, to be in compliance.
1.1.2.	Management has designated individual(s) with roles and responsibilities for food safety functions.	The Food Safety Plan shall designate who has the responsibility and authority for food safety, including a provision for the absence of key personnel. Twenty-four hour contact information shall be available for these individuals in case of food safety emergencies. These roles and responsibilities shall be communicated within the organization.	Auditor observes that the Food Safety Plan has identified individual(s) for key food safety activities. Auditor verifies that procedures include provisions for when the identified individual is not present.	Operation identifies individual(s) for key food safety activities in the Food Safety Plan. Operation identifies actions to be taken when the identified individual(s) are not present.
1.1.3.	There is a disciplinary policy for food safety violations	There shall be a policy that establishes corrective actions for personnel who violate established food safety policies or procedures.	Auditor observes the policy and checks for examples of enforcement.	The Operation creates or revises the policy, or its communication to employees, to be in compliance.
1.2.	Food Safety Plan or Risk Assessment			
1.2.1.	There shall be a written Food Safety Plan. The plan shall cover the operation. The operation and products covered shall be defined.	The Food Safety Plan shall identify all locations of operation covered by the plan and shall identify physical, chemical, and biological hazards reasonably likely to occur and hazard control procedures, including monitoring, verification and recordkeeping, for all provisions covered by this audit.	Auditor shall observe the Food Safety Plan and verify that the plan has considered potential biological, chemical and physical hazards and has identified preventive controls for hazards that may reasonably affect food safety.	Operation develops or completes a Food Safety Plan for all locations of operation.
1.2.2.	The Food Safety Plan shall be reviewed at least annually.	Operation shall be responsible for reviewing their Food Safety Plan at least annually, documenting the review procedure and revising the plan as necessary.	Auditor reviews last Food Safety Plan review.	Operation reviews Food Safety Plan and documents review.

1.3.	Raw Material Sourcing			
1.3.1.	Operation has an Approved Supplier program for all incoming materials, including packaging.	Operation has and maintains a current list of approved raw material suppliers. Approved Supplier program includes a procedure for accepting materials from alternate sources.	Auditor verifies a list of raw material suppliers is maintained and current. Auditor verifies that all materials received from alternate sources has followed established procedure.	Operation develops an Approved Supplier program and maintains current list. Operation develops a procedure for accepting materials from alternate sources. Operation ceases accepting or shipping materials from non-compliant suppliers.
1.3.2.	The Operation has a policy and takes affirmative steps to ensure that all fresh produce that are packed or stored in the facility are grown following requirements in *Field Operations and Harvesting* harmonized standard.	The Operation requires all raw product suppliers to provide evidence of food safety/GAP programs and compliance. Such evidence must include sufficient documentation to demonstrate that the supplier complies with the requirements in *Field Operations and Harvesting* harmonized standard.	Auditor reviews policy and verifies that Operation's evidence of supplier compliance with food safety/GAP programs is in compliance with the Operation's policy.	Operation obtains required documentation. Operation ceases accepting or shipping product from non-approved suppliers, until sufficient documentation demonstrating compliance is received by the Operation.
1.4.	Documentation & Recordkeeping			
1.4.1.	Documentation shall be kept that demonstrates the Food Safety Plan is being followed.	Documents and records of procedures, standard operating procedures (SOPs) and policies shall be in place for meeting each of the food safety standards identified in the Food Safety Plan.	Auditor reviews Food Safety Plan and verifies that all required documentation is available.	Operation develops missing documentation or recordkeeping procedures.
1.4.2.	Documentation shall be readily available for inspection.	Documents and records may be maintained on-site or at an off-site location, or accessible electronically (e.g., MSDS), and shall be available for inspection in a reasonable timeframe or as required by prevailing regulation.	Auditor verifies that required documentation can be accessed in a reasonable timeframe.	Operation defines in Food Safety Plan where and how documentation is maintained and expected retrieval time.

1.4.3.	Documentation shall be retained for a minimum period of two years, or as required by prevailing regulation.	Document and record handling policy or procedures require that documentation required by the Food Safety Plan shall be retained for a minimum of two years, or as required by prevailing regulation.	Auditor reviews document handling procedures and verifies that required documentation is available for at least two years, or as required by prevailing regulation.	Operation revises documentation procedures.
1.5.	Worker Education and Training			
1.5.1.	All personnel shall receive food safety training.	All personnel shall receive training in the food safety policy and plan, food safety procedures, sanitation and personal hygiene appropriate to their job responsibilities. Personnel shall receive training at hire and refresher training at prescribed frequencies. Documentation of training is available.	Auditor reviews program of required training and examines training records for evidence of compliance.	Operation shall develop and deliver required training.
1.5.2.	Personnel with food safety responsibilities shall receive training sufficient to their responsibilities.	The individual designated for food safety responsibilities demonstrates knowledge of food safety principles. Food safety designate has completed at least one formal food safety course/workshop or by job experience.	Auditor reviews the evidence of the individual's training relevant to produce food safety, such as a degree or course certificate or receipt, or attendance at a relevant food safety meeting, or company training record. If the Operation passes the food safety audit, the food safety individual's training is deemed adequate.	Individual must obtain demonstrable food safety training.
1.6.	Traceability			
1.6.1.	A documented traceability program shall be established.	Records that enable reconciliation of product delivered to recipients (one step forward) shall be maintained except for direct to consumer sales. Records shall be maintained that link product with source of the produce and other supplies and raw materials (one step backward). Records shall include the items and date of receipt, lot numbers, quantities, source of the produce, and transporter. Additional information may be included. Contents and retention of records shall be consistent with applicable regulations.	Auditor reviews traceability program and verifies Operation's ability to trace product accurately one step forward and one step back.	Operation establishes an effective traceability program.

1.6.2.	A trace back and trace forward exercise shall be performed at least annually.	The trace back and trace forward exercise shall achieve accurate traceability within 4 hr or as required by applicable regulations. Trace exercise shall achieve 100% reconciliation of product to recipients.	Auditor reviews records of most recent trace exercise. If no trace exercise was performed in the past year, the Operation will perform the exercise during the audit.	Operation performs exercise and/or improves traceability program to achieve accurate reconciliation.
1.7.	Recall Program			
1.7.1.	A documented recall program, including written procedures, shall be established.	The recall program shall have a designated recall team. A mock recall exercise shall be performed at least annually at the Operation being audited. The mock recall shall include the trace back and trace forward exercise and shall be completed as stated in the program and in compliance to applicable regulations.	Auditor reviews records of most recent mock recall performed at the Operation.	Operation develops recall team and recall plan, and tests the plan for effectiveness.
1.8.	Corrective Actions			
1.8.1.	The Operation shall have documented corrective action procedures.	A documented Corrective Action is required for an observation or audit that contains a non-conformance with food safety requirements. The responsibility, methods, and timelines to address Corrective Actions shall be documented and implemented.	Auditor reviews corrective action procedures and examines records for evidence of compliance.	Operation develops and implements corrective actions procedures.
1.9.	Self-audits			
1.9.1.	The Operation shall have documented self-audit procedures.	Internal audits will be conducted at a minimum annually by an assigned individual who is knowledgeable in this standard, utilizing this standard to assist in the self-audit. All aspects of the Operation's Food Safety Plan will be audited and a written record of required corrective action will be documented.	Auditor reviews internal audit procedures and examines records for evidence of compliance.	Operation develops and implements internal audit procedures.

1.10.	Agricultural Chemicals /Plant Protection Products			
1.10.1.	Use of agricultural chemicals shall comply with label directions and prevailing regulation.	Agricultural chemicals applied post-harvest (e.g., biocides, waxes and plant protection products) must be registered for such use as required by prevailing regulation, and used in accordance with label directions including application rates, worker protection standards, personal protection equipment, container disposal, storage, and all requirements specified for the chemical or compound. Records of use are maintained.	Auditor reviews post-harvest agricultural chemical use records for evidence of compliance with approved uses or label directions.	Operation develops and maintains agricultural chemical use records and maintains evidence of proper use of each chemical use. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.10.2.	If product is intended for export, pre- and post-harvest agricultural chemical use shall consider requirements in the intended country of destination.	The operation shall have procedures, such as review of pre-harvest intervals and adjustment of post-harvest application rates, sufficient to meet the MRL entry requirements of the country(ies) in which the product is intended to be traded, if known during post-harvest handling.	Auditor reviews operation's procedure for complying with agricultural chemical restrictions in countries of destination. If the country of destination is unknown during post-harvest handling, this item is not applicable.	Operation develops procedures, and diverts non-compliant product to a market in which the product meets standards.
1.10.3.	Agricultural chemicals shall be applied by trained, licensed or certified application personnel, as required by prevailing regulation.	Operation maintains records demonstrating that all personnel responsible for chemical applications are trained and/or licensed, or supervised by licensed personnel, in compliance with prevailing regulation.	Auditor reviews records demonstrating that application personnel are licensed and/or trained in compliance with prevailing regulation.	Operation utilizes application personnel who are appropriately licensed and/or trained.

1.11.	Water/Ice			
1.11.1.	Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food-contact surfaces.	If water or ice directly contacts the harvested crop or is used on food-contact surfaces, Operation's water use SOP requires that water or ice when applied meets the microbial standards for drinking water, as defined by prevailing regulation or the country in which the product is intended to be traded, whichever is more stringent. Water may be treated (e.g., with chlorine) to achieve the microbial standards or to prevent cross-contamination. Ice and water shall be sourced/manufactured, transported, and stored under sanitary conditions.	Auditor reviews Operation's policy regarding water quality and its transport, and observes evidence that water or ice that contacts harvested crop or food contact surfaces meets the microbial standards for drinking water.	Operation discontinues using water or ice that does not meet the microbial standards of drinking water. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.11.2.	A water system description shall be prepared.	Water sources and the operations they serve shall be documented and current. The description shall include one or more of the following: maps, photographs, drawings (hand drawings are acceptable) or other means to communicate the location of water source(s), permanent fixtures and the flow of the water system (including holding systems, reservoirs or any water captured for re-use). Permanent fixtures include wells, gates, reservoirs, valves, returns, backflow prevention and other above ground features that make up a complete water distribution system shall be documented in such a manner as to enable location in the operation.	Auditor reviews water system description or map, and verifies accuracy during operation inspection.	Operation develops or corrects the water system description or map.

1.11.3.	Documented scheduled assessment of water system including delivery equipment shall be performed.	The water-delivery system shall be maintained so as not to serve as a source of contamination of produce, water supplies or equipment with pathogens, or to create an unsanitary condition. Water installations and equipment are constructed and maintained to prevent back siphonage backflow and cross connections between product contact water and waste water. Routine checks verify that back siphonage and backflow prevention units are functioning properly (annual or as needed to maintain continuous protection). Results are documented.	Auditor reviews maintenance records and examines water system for compliance with water system maintenance program, including backflow prevention and cross-connections.	Operation corrects deficiencies in ability of water system to reliably distribute safe water and schedules water system assessments. Affected product is evaluated for potential contamination and disposition.
1.11.4.	The sewage disposal system is adequate for the process and maintained to prevent direct or indirect product contamination.	The human waste and gray water sewage system has sufficient capacity to handle the operation's peak flows and not cause direct or indirect product contamination. Cross-connections with product contact water systems are prohibited.	Auditor observes operation for evidence of compliance.	Operation suspends operation until sewage disposal system functions so as to prevent risk of product contamination. Affected product and product handling areas are evaluated for potential contamination and disposition.
1.11.5.	Water-change schedules shall be developed for all uses of water where water is re-used.	Operation shall have procedures for changing water that is re-used, such as recirculated water, flumes and dump tanks.	Auditor observes water use procedures and evidence of compliance.	Operation develops water use procedures. Affected product is evaluated for potential contamination and disposition.
1.11.6.	Re-circulated water that contacts product or food contact surfaces shall be treated using an approved antimicrobial process or chemical treatment.	Re-circulated water shall be treated using an antimicrobial treatment sufficient to prevent cross- contamination. Treatments shall be in compliance with prevailing regulation or the country in which the product is intended to be traded, whichever is more stringent.	Auditor reviews water treatment process and evidence of compliance with regulation and the Operation's established procedure.	Operation suspends operation until water treatment functions so as to prevent risk of product contamination. Affected product and product handling areas are evaluated for potential contamination and disposition.

1.11.7.	If used, water antimicrobial treatments shall be monitored sufficiently to assure continuous control.	Microbial, physical or chemical testing shall be performed, as appropriate to the specific operation, to demonstrate that acceptance criteria have been met.	Auditor reviews monitoring records for compliance with the Operation's established procedure and acceptance criteria.	Operation establishes monitoring program that assures continuous control of water antimicrobial treatment to meet acceptance criteria.
1.11.8.	If applicable to the specific commodity, water use SOPs address control of immersion water temperature.	For produce that is immersed in water and demonstrated as being susceptible to microbial infiltration from water, water temperature differentials during immersion shall be controlled in accordance with prevailing regulation or industry guidelines.	If applicable to the commodity being immersed, auditor reviews the SOP for inclusion of water temperature control, and observes monitoring records for evidence of compliance.	Operation revises SOP to address and control water temperature.
1.12.	Containers, Bins			
1.12.1.	Operation has written policy regarding storage and post-storage handling of product-contact containers.	Product-contact containers, as appropriate to the specific operation (e.g., harvest bins, totes, crates, sacks, buckets, finished product clam shells, bags or packaging films), shall be stored, or handled (e.g., cleaned prior to post-storage use), in a manner so as not to serve as a source of contamination	Auditor observes whether Operation has a policy regarding storage and handling of product-contact containers used in the operation. Auditor observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented.
1.12.2.	Operation has written policy regarding whether product-contact containers are permitted in direct contact with the ground.	If produce does not normally contact the ground during production, Operation has considered and developed written policies regarding placement of product-contact containers directly on the ground, or whether a physical buffer (e.g., buffer bin or slip sheet) is required, or use of containers constructed to prevent contact of the produce or produce contact surfaces with the ground. Policy shall be consistent with industry standards.	Auditor observes whether Operation has a policy regarding placement of product-contact containers in direct contact with the ground. Auditor observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented.

1.12.3.	Operation has written policy regarding inspection of food contact containers and bins prior to use.	Food-contact totes, bins, packing materials, other harvest containers, and pallets shall be visually inspected, clean, intact and free of any foreign materials prior to use. Containers shall be sufficiently maintained so as not to become a source of contamination.	Auditor observes whether Operation has a policy regarding inspection of food contact containers and observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented.
1.12.4.	Operation has written policy regarding acceptable product-contact containers.	The types and construction of product-contact containers and packing materials shall be appropriate to the commodity being handled and suited for their intended purpose. Produce shall only be stored in clean and sanitary containers.	Auditor observes whether Operation has a policy regarding what types of containers and packing materials are acceptable for use, and observes current practices for compliance with the policy.	Operation develops the policy. Appropriate product-contact containers are obtained. Affected product is evaluated for potential contamination and disposition.
1.12.5.	Operation has written policy prohibiting use of product-contact containers for non-product purposes unless clearly marked or labeled for that purpose.	Food-contact totes, bins and other product-contact containers shall not be used for other purposes unless the Operation has a policy or procedure that clearly designates approved non-product contact uses and how the containers are to be marked or labeled for that purpose. Food-contact totes, bins and other packing containers and equipment that are no longer cleanable shall not be used for packing but can be used for other non-food uses if clearly marked/labeled.	Auditor observes whether Operation has a policy prohibiting use of product-contact containers for other uses unless otherwise labeled, and observes current practices for compliance with the policy.	Operation develops the policy. Retraining is performed and documented.
1.12.6.	Pallets shall be kept clean and in good condition as appropriate for their intended use.	Operation inspects pallets prior to use for conditions that may be a source of produce contamination. Pallets that are not cleanable are removed from use. Pallets and other wooden surfaces are properly dried after being washed.	Auditor observes pallets for compliance	Operation removes noncompliant pallets from use.

1.13.	Facility, Equipment, Tools			
1.13.1.	Facility shall be designed, constructed and maintained in a manner that prevents contamination of produce during staging and cooling.	Facility and equipment structures and surfaces (floors, walls, ceilings, doors, frames, hatches, etc.) shall be constructed in a manner that facilitates cleaning and sanitation and does not serve as harborage for contaminants or pests. Chill and cold storage loading dock areas shall be appropriately sealed, drained and graded. Fixtures, ducts, pipes and overhead structures shall be installed and maintained so that drips and condensation do not contaminate produce, raw materials or food contact surfaces. Water from refrigeration drip pans shall be drained and disposed of away from product and product contact surfaces. Drip pans and drains shall be designed to assure condensate does not become a source of contamination. Air intakes shall not be located near potential sources of contamination.	Auditor observes facility and equipment for evidence that the facility can be cleaned and maintained to prevent product contamination.	Facility deficiencies are corrected. Affected product is evaluated for potential contamination and disposition.
1.13.2.	A Preventive Maintenance and/or Master Cleaning Schedule, with related SOPs, shall be established	There is a written cleaning and sanitation schedule for all food and non-food contact surfaces including floors, drains, walls, ceilings and other surfaces that may pose a source of product contamination. Roof leaks shall be promptly identified, controlled and repaired. Operation has procedures for cleaning and sanitation of cooling equipment. Drip pans and drains shall be maintained to assure condensate does not become a source of contamination.	Auditor reviews Preventive Maintenance and/or Master Cleaning Schedule, observes facility and equipment for evidence that the facility is cleaned and maintained to prevent product contamination. Auditor reviews facility maintenance records for evidence of repairs.	Operation develops a Preventive Maintenance and/or Master Cleaning Schedule, with related SOPs. Facility deficiencies are corrected. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

1.13.3.	All cleaning agents shall be approved for their intended use on food contact surfaces.	All chemicals used for cleaning or sanitizing of food contact equipment, tools, utensils, containers and other food contact surfaces shall be approved for that use, according to the chemical manufacturer or supplier and all federal, state and local requirements, and shall be used in a manner consistent with the approved use.	Auditor reviews cleaning and sanitizing chemicals purchasing practices or procedures, storage area, and use procedures to verify compliance.	Operation ceases use of unapproved chemicals. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.13.4.	Cleaning equipment and tools are clean, in working order and stored properly away from product handling areas.	Equipment, utensils and tools used for cleaning or sanitizing, including food contact and non-food contact surfaces, are maintained in a manner sufficient to avoid becoming a source of produce contamination and are stored away from product handling areas.	Auditor reviews practices or procedures for use and storage of cleaning and sanitizing equipment, tools and utensils, and observes storage area for compliance.	Operation develops written procedures for maintaining and storing cleaning and sanitizing equipment, tools and utensils. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.13.5.	Food contact surfaces shall be cleaned, sanitized and maintained according to the Food Safety Plan	Prior to use, the lines used for washing, grading, sorting, or packing shall be cleaned and sanitized as appropriate per risk assessment. When in use, the lines shall be maintained so as not to be a source of contamination with pathogens.	Auditor reviews cleaning and sanitizing procedures and observes food contact surfaces to verify compliance.	Operation develops written cleaning and sanitizing procedures consistent with the Food Safety Plan. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.13.6.	Adequate lighting shall be provided in all areas.	Lighting in all areas shall be sufficient to enable cleaning, sanitation, repairs, etc.	Auditor observes, directly or by other evidence, that sufficient lighting is provided to the worker to clearly see the task being performed.	Facility installs adequate, lighting.

1.13.7.	Where temperature control is required for food safety, cooling facilities shall be fitted with temperature monitoring equipment or suitable temperature monitoring device.	Temperature monitoring equipment shall be located in all temperature controlled areas, and shall be located so as to accurately monitor the temperature. Temperature measuring devices shall be monitored and calibrated on a scheduled basis or as needed.	Auditor observes evidence that temperatures are being monitored, and reviews calibration records and procedures for temperature monitoring equipment.	Operation establishes and implements temperature monitoring procedures.
1.13.8.	Cooling equipment shall be maintained so as not to be a source of product contamination.	Cooling equipment (e.g. hydrocoolers, air coolers), shall be inspected, all debris removed, and cleaned and sanitized according to written sanitation SOPs.	Auditor reviews cooling equipment maintenance and sanitation procedures and inspects equipment for compliance with procedures.	Operation develops and implements effective maintenance and sanitation procedures.
1.13.9.	Transporting equipment shall be maintained to prevent contamination of products being transported.	Pallet jacks, carts, trolleys and forklifts, shall be maintained to prevent contamination of products being transported and are listed on the Preventive Maintenance and/or Master Cleaning Schedules.	Auditor observes transporting equipment and reviews Schedules and records for evidence of compliance.	Operation develops and implements Preventive Maintenance and/or Master Cleaning Schedules.
1.13.10.	Outside garbage receptacles/dumpsters are closed and located away from facility entrances and the area around such sites is reasonably clean.	Waste containers and compactors are located away from produce handling areas, are closed or have lids (except for waste collection/cull trailers in active use), are emptied on a scheduled basis or as needed, and weeds and other pest harborage are minimized around the containers.	Auditor observes waste container location and management practices.	Operation relocates waste containers. Facility deficiencies are corrected. Retraining is performed and documented.
1.13.11.	The plant grounds are reasonably free of litter, waste culls, vegetation, debris and standing water.	Operation has procedures to maintain the grounds surrounding the building in a manner to minimize sources of contamination, such as litter, vegetation, waste culls, debris and standing water that may be pest attractants or harborages. Vegetation that does not serve as an attractant or harborage is permitted.	Auditor observes the grounds for compliance.	Operation removes the attractants and harborages, and develops procedure to maintain grounds in compliance.
1.14.	Storage			
1.14.1.	Product storage areas and conditions shall be appropriate to the commodities stored.	Produce storage locations and conditions shall not pose a risk of produce contamination, consistent with industry standards or prevailing regulation.	Auditor observes storage area for evidence that stored produce is protected from contamination.	Operation designates and maintains storage areas to prevent contamination of produce.

1.14.2.	Iced produce is handled so as not to serve as a source of contamination.	Protective measures are provided in areas where iced product is stored over food items in order to prevent melting ice from contaminating product below.	Auditor inspects any iced product on premises for compliance.	Operation develops written procedures to handling and storage of iced product. Facility deficiencies are corrected. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.14.3.	Non-product storage areas shall be maintained so as not to be a source of product or materials contamination.	Areas designated to store materials, whether indoors or out, shall be clean, well ventilated, and designed to protect materials and produce from contaminants.	Auditor observes storage area for evidence that stored materials are protected from contamination.	Operation designates and maintains storage areas to prevent contamination of non-product materials.
1.14.4.	Materials and packaging materials shall be protected from contaminants.	Materials stored in uncovered areas shall be protected from condensate, sewage, dust, dirt, chemicals, allergens or other contamination. Materials shall be stored off the floor/ground on pallets, slip-sheets or stands and covered where applicable.	Auditor observes stored materials for protection from contamination.	Operation develops and implements written procedures for materials storage. Facility deficiencies are corrected. Affected product is evaluated for potential contamination and disposition.
1.14.5.	Adequate space shall be maintained between rows of stored materials to allow cleaning and inspection.	Materials shall be stored away from walls and ceilings. Written procedures shall be followed to guarantee the proper cleaning, inspection and monitoring for pest activity in storage areas.	Auditor reviews the procedures and observes the storage area to determine whether storage practices allow cleaning, inspection and monitoring for pest activities.	Operation develops and implements a written procedure, and moves material into compliance.

1.14.6.	All chemicals shall be stored in a secure separate area. All chemicals shall be properly labeled.	Chemicals, including cleaning and maintenance compounds and lubricants, when not being used, are stored away from product handling areas and in a manner that inhibits unauthorized access. Food-grade and non food-grade lubricants are kept separate from each other.	Auditor observes that chemicals are properly labeled and storage practices protect against product contamination.	Operation designates a secure area for storage of chemicals. Unlabeled chemicals are labeled or properly discarded. Retraining is performed and documented.
1.15.	Waste Material			
1.15.1.	Waste materials and their removal are managed to avoid contamination.	Trash, leaves, trim, culls, waste water and other waste materials are removed from the produce handling areas at a frequency sufficient to avoid becoming a source of produce contamination.	Auditor observes waste control procedures in produce handling areas.	Operation develops a written waste control procedure. Facility deficiencies are corrected. Retraining is performed and documented.
1.16.	Outside Grounds			
1.16.1.	Operation has procedures to prevent pest harborage in any equipment stored near the building.	Equipment stored outside is stored away from the building perimeter. Equipment is not to accumulate near the building. Bone yards are located away from the building. Outside equipment storage areas are included in pest control program.	Auditor observes outside equipment storage areas for evidence of compliance.	Operation includes outside storage areas in pest control program. Equipment is moved to be in compliance.
1.17.	Glass Control			
1.17.1.	Only essential glass and brittle plastic shall be present in the facility.	Light bulbs, fixtures, windows, mirrors, skylights and other glass and brittle plastic in the facility or in the product path entering or exiting the facility shall be of the safety type, or shall be otherwise protected to prevent breakage. If glass or brittle plastic must be used, there shall be a written glass and brittle plastic control policy, including a glass and brittle plastic register.	Auditor observes glass and brittle plastic use in facility, and glass and brittle plastic control policy and glass and brittle plastic register for compliance.	Operation develops a glass and brittle plastic control policy or eliminates all glass and brittle plastic in the facility.

1.18.	Leaks/Lubrication			
1.18.1.	Equipment lubrication is managed so as not to contaminate food products.	Only food-grade lubricants are used on food processing and packaging equipment, or on any other equipment where incidental food contact may occur, unless the equipment manufacturer specifies only a non-food grade lubricant. Lubricant leaks are fixed or catch pans are installed to prevent product contamination.	Auditor reviews purchase or maintenance records to verify all lubricants used are food grade. Auditor observes lubrication points to verify leaks are controlled.	Operation replaces non-food grade lubricants. Operation fixes lubricant leaks or installs catch pans. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.19.	Equipment and Utensil Construction			
1.19.1.	All food contact equipment, tools and utensils are designed and made of materials that are easily cleaned and maintained.	The Operation shall develop, implement, and schedule repair, cleaning, sanitizing, storage and handling procedures of all food contact surfaces to reduce and control the potential for contamination. These procedures shall be documented. Product contact tools, utensils and equipment shall be made of materials that can be cleaned and sanitized.	Auditor observes food contact surfaces for design and materials that can be easily cleaned and maintained. Auditor reviews cleaning, sanitizing, storage and handling procedures.	Operation develops and implements procedures. Operation replaces all non-compliant food contact equipment, tools and utensils.
1.19.2.	Equipment is installed in a way that provides access for cleaning.	Cooling, packing and other food contact equipment is installed away from walls and otherwise positioned so as not to inhibit access for proper cleaning.	Auditor observes positioning of all food contact equipment for compliance.	Operation relocates the equipment to be compliant.
1.19.3.	Catwalks above product zones are protected to prevent produce or packaging contamination.	Where workers walk over product contact surfaces, those walkways are solid surface or have catch trays installed, are protected by kick plates, product covers or other barriers.	Auditor observes catwalks over product zones for evidence of protective measures.	Operation retrofits catwalks or product zones to protect against potential contamination. Affected product is evaluated for potential contamination and disposition.

1.20.	Temporary Repairs			
1.20.1.	Any temporary repairs on food contact surfaces are constructed of food-grade material. Operation has a procedure to ensure that permanent repairs are implemented in a timely manner.	Operation has procedures to ensure temporary repairs are compliant with all food safety requirements, and do not create potential sources of chemical, microbiological or physical contamination. Permanent repairs are implemented as soon as practical; Operation establishes timelines and responsibilities for completion.	Auditor observes temporary repairs, if present, and Operation's plans for timely completion.	Operation develops and implements a temporary repair procedure. Operation immediately fixes any non-compliant temporary repairs. Affected product is evaluated for potential contamination and disposition.
1.21.	Worker Health/Hygiene and Toilet/Handwashing Facilities			
1.21.1.	Restrooms shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination.	Restrooms shall be designed and constructed in a manner that minimizes the potential risk for product contamination, are located away from produce handling areas, and are directly accessible for servicing.	Auditor visually and by records verifies that toilet facilities are not positioned, leaking or serviced in a manner that poses a risk of produce contamination.	Toilet facility is replaced, repaired or repositioned to be compliant.
1.21.2.	Toilet facilities shall be of adequate number, easily accessible to employees and in compliance with applicable regulation.	The Operation will have verification that the number of toilet facilities and their location relative to employees meets the more stringent of federal, state or local regulations.	Auditor verifies that the number of available toilet facilities and their location is compliant with prevailing regulation for the number of employees.	Operation obtains a sufficient number of toilet facilities to be compliant.
1.21.3.	The practice of disposing of used toilet tissue on the floor, in trash receptacles, or in boxes is prohibited.	Operation shall instruct employees that used toilet tissue shall only be disposed of in the toilet.	Auditor observes restrooms for evidence of compliance.	Retraining is performed and documented.
1.21.4.	Toilet and hand wash stations shall be maintained in a clean and sanitary condition.	Toilet paper shall be available in toilet facility. Restrooms shall include hand wash facilities with water that meets the microbial standard for drinking water, hand soap, disposable towels or other hand drying device, and towel disposal container. Gray water is plumbed or captured for disposal.	Auditor observes toilet and handwashing facilities for compliance.	Toilet or handwashing facility is replaced, repaired or maintained to be compliant.

1.21.5.	Signage requiring handwashing is posted.	Signage in applicable languages and/or pictures shall be provided adjacent to hand wash facilities requiring people to wash their hands after each toilet visit.	Auditor verifies that signage is present adjacent to all hand wash facilities and is in appropriate language or pictures to clearly communicate requirements to all employees.	Operation obtains and posts signage to be compliant.
1.21.6.	If protective clothing is required by the Operation in product handling areas, it shall be handled in a manner to protect against contamination. When appropriate, racks and/or storage containers or designated storage area for protective clothing and tools used by employees shall be provided.	When employees wear protective clothing, such as aprons and gloves, the Operation shall have a policy that the clothing not be left on product, work surfaces, equipment or packaging material but hung on apron and glove racks or in designated areas. Racks shall be available and located so as to avoid potential contamination. In addition, storage containers or designated storage areas shall be provided to ensure tools used by employees are properly stored prior to entering toilet facilities. Operation shall have a policy regarding whether protective clothing can be taken home.	If employees wear protective clothing, auditor reviews protective clothing policy and observes whether clothing rack and tool storage containers or designated storage areas are available and used.	Operation develops or revises clothing policy. Operation obtains and positions racks and storage containers as necessary. Retraining is performed and documented.
1.21.7.	Employees and visitors shall follow all personal hygiene practices as designated by the Operation.	Operation's hygiene policies shall apply to all employees, contractors, visitors, buyers, product inspectors, auditors, and other personnel in the facility. The Operation shall designate competent supervisory personnel to ensure compliance with the requirements in this section.	Auditor observes personnel in operation for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.8.	Workers and visitors who show signs of illness shall be restricted from direct contact with produce or food-contact surfaces.	Operation shall have a policy that restricts employees, contractors, visitors, buyers, product inspectors, auditors, and other personnel in the facility who show signs of illness (e.g., vomiting, jaundice, diarrhea) from contact with product or food contact surfaces.	Auditor reviews policy and observes personnel for evidence of compliance.	Operation develops and implements policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

1.21.9.	Personnel with exposed cuts, sores or lesions shall not be engaged in handling product.	Minor cuts or abrasions on exposed parts of the body are acceptable if covered with a non-permeable covering, bandage or glove. Bandages on hands shall be covered with gloves in compliance with Operation's glove policy.	Auditor observes personnel for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.10.	Operation shall have a blood and bodily fluids policy.	There shall be a written policy specifying the procedures for the handling/ disposition of food or product contact surfaces that have been in contact with blood or other bodily fluids.	Auditor reviews policy and observes operation for evidence of compliance.	Operation develops and implements policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.11.	First aid kits shall be accessible to all personnel.	The kits shall be readily available in the facility and maintained in accordance with prevailing regulation. The kit materials shall be within shelf life and kept in a sanitary and usable condition.	Auditor observes that provisions exist for first aid kit to be readily available in facility and is stocked in accordance with prevailing regulation.	Operation obtains and stocks a first aid kit and ensures it is readily accessible near personnel.
1.21.12.	Smoking, chewing, eating, drinking (other than water), chewing gum and using tobacco shall be prohibited except in clearly designated areas.	Operation shall have policy prohibiting smoking, eating, chewing gum or tobacco, drinking other than water except in designated areas. Such areas shall be designated so as not to provide a source of contamination.	Auditor observes personnel for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.13.	Personnel shall be required to wash their hands before beginning or returning to work, after each visit to the toilet and whenever their hands may have become a source of contamination.	Personnel shall wash their hands prior to start of work, after each visit to a toilet, after using a handkerchief/tissue, after handling contaminated material, after smoking, eating or drinking, after breaks and prior to returning to work and at any other time when their hands may have become a source of contamination.	Auditor observes personnel for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

1.21.14.	If gloves are used, the Operation shall have a glove use policy.	If rubber, disposable, cloth or other gloves are used in contact with product, the Operation shall have a glove use policy that specifies types of glove materials that are allowed, how and when gloves are to be used, cleaned, replaced and stored. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.	If gloves are used, auditor observes glove use for compliance with the Operation's policy and current industry practices or regulatory requirements.	Operation develops or revises glove policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.15.	Clothing, including footwear, shall be effectively maintained, stored, laundered and worn so as to protect product from risk of contamination.	Operation shall have a policy that employee clothing shall be clean and appropriate for the operation.	Auditor reviews policy and observes compliance with Operation's policy.	Operation develops or revises clothing policy. Retraining is performed and documented.
1.21.16.	The use of hair coverings shall be in compliance to company policy and applicable regulation.	The Operation shall have a policy that addresses use of hair coverings (e.g., hair nets, beard nets, caps), which is in compliance with prevailing regulation.	Auditor reviews the Operation's policy and observes employees for compliance.	Operation develops policy. Retraining is performed.
1.21.17.	The wearing of jewelry, body piercings and other loose objects (e.g. false nails) shall be in compliance to company policy and applicable regulation.	Operation shall have a policy to minimize risk for jewelry or loose objects to be a source of product contamination. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.	Auditor observes personnel for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.18.	Employees' personal belongings shall be stored in designated areas.	Operation shall have a policy for when and how employee's personal belongings shall be stored so as not to be a source of product contamination.	Auditor observes produce handling areas and designated area for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.19.	Break areas shall be designated and located away from food contact/handling zones.	Operation shall have a written policy that break areas are located so as not to be a source of product contamination.	Auditor observes break areas for evidence of compliance with Operation's policy.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

1.22.	Temperature Control			
1.22.1.	When produce is cooled, it is cooled to temperatures appropriate to the commodity according to current established regulatory or industry standards.	When required for food safety or by industry guidelines, steps are taken to minimize temperature increases and minimize the time between produce receipt and cooling at the operation. The product temperature and equipment control mechanisms are calibrated and monitored at a defined frequency and temperatures are kept appropriate to the commodity. Records are maintained.	Auditor reviews cooling procedures for commodities requiring temperature control, and reviews temperature logs for evidence of compliance.	Operation develops and implements procedures to monitor cooling procedures in compliance with current established regulatory or industry standards.
1.23.	Packing and Handling			
1.23.1.	If applicable, Operation has a written Allergen Control Program	The Allergen Control Program lists the allergens in use or storage at the facility specific to country regulations. If applicable, procedures address identification and segregation of allergens during storage and handling as based on a risk assessment conducted by the facility	Auditor reviews Allergen Control Program and inspects facility for evidence of allergen use and storage.	Operation develops and implements an Allergen Control Program or eliminates allergens from the facility.
1.23.2.	Specifications for all packaging materials that impact on finished product safety and quality shall be provided and comply with prevailing regulations.	The methods and responsibility for developing and approving detailed specifications and labels for all packaging shall be documented. A register of packaging specifications and label approvals shall be maintained and kept current.	Auditor reviews documentation on methods and responsibilities for packaging materials and label approvals.	Operation revises labels and packaging materials to be compliant with prevailing regulations.

1.24.	Pest and Animal Control			
1.24.1.	Operation has procedures to manage pests to the extent appropriate to the facility.	Operation has a written pest control program, performed by a trained pest control operator (or licensed where required by prevailing regulation). The written program includes policies and procedures applicable to that operation, such as storage of outside equipment or other factors dealing with pest harborages, and maps of the location of pest traps outside and inside the facility. Operation maintains a pest-control log that includes dates of inspection, inspection reports and steps taken to eliminate any problems. Applications of pesticides (e.g., insecticides, rodenticides) shall be performed in compliance with local, state, and federal pesticide regulations.	Auditor reviews pest control program, pest control operator's credentials, and inspects facility for pest activity.	Operation develops, documents and implements an effective pest control program.
1.24.2.	Operation restricts animals from food handling facilities.	Domestic animals are prohibited from pack house, cooling, and storage facilities unless procedures are in place for their safe presence. Procedures are in place to exclude wild and feral animals to the degree practical.	Auditor looks for evidence of animals or animal activity.	Operation develops, documents and implements an effective animal control program.
1.24.3.	If used, pest control devices, including rodent traps and electrical flying insect devices, are located so as to not contaminate produce or food handling surfaces.	Only non-toxic traps and pest control devices are used inside the packing house or storage facility.	Auditor reviews pest control program and placement of pest control devices.	Operation removes or repositions pest control devices to be compliant.
1.25.	Sampling/Testing			
1.25.1.	Where laboratory analysis is required in the Food Safety Plan, testing shall be performed by a GLP laboratory using validated methods.	Operation utilizes laboratories that have, at minimum, passed a Good Laboratory Practices (GLP) audit or participates in a Proficiency Testing program, and utilizes FDA's Bacteriological Analytical Manual (BAM), AOAC International or testing methods that have been validated for detecting or quantifying the target organism(s) or chemical(s).	Auditor reviews Operation's evidence that only GLP laboratories and validated methods are used.	Operation discontinues using non-GLP laboratory and non-validated testing methods.

1.25.2.	Where microbiological analysis is required in the Food Safety Plan, samples shall be in accordance with an established sampling procedure.	Operation utilizes a written sampling protocol when collecting samples for microbiological testing.	Auditor observes that the Operation has a sampling protocol for each type of microbiological testing required in the Operation's Food Safety Plan.	Operation develops or obtains written sampling protocols for each type of microbiological testing required in their Food Safety Plan.
1.25.3.	Tests, their results and actions taken must be documented.	All results for microbiological testing required in the Operation's Food Safety Plan shall be recorded and the records maintained for two years.	Auditor reviews Operation's recordkeeping of microbiological test results.	Operation maintains for at least two years test records for all required microbiological tests.
1.25.4.	All required testing shall include test procedures and actions to be taken based on the results.	For all microbiological testing required by the Food Safety Plan, Operation has a written testing procedure that includes test frequency, sampling, test procedures, responsibilities and actions to be taken based on results. If finished product is tested for pathogens or other adulterants, Operation's procedures require that it shall not be distributed outside the Operation's control until test results are obtained.	Auditor reviews the Operation's microbiological testing procedures for completeness.	Operation revises testing procedures for completeness and to meet expectations of the Food Safety Plan.
2.	**Packinghouse**			
2.1.	Operation Food Safety Plan includes produce washing process, if used.	If produce is washed, an initial risk assessment of the washing process shall be performed that takes into consideration the commodity, type of wash system, type of sanitizer, and water quality.	Auditor reviews Food Safety Plan and operational procedures to determine if washing process has been considered.	Operation revises Food Safety Plan to include produce washing process.
2.2.	Debris and damaged produce shall be removed from wash areas/dump tanks to the extent possible.	Operation has procedures to determine how and when debris shall be removed from wash areas/dump tanks.	Auditor reviews procedures and observes wash areas for evidence of compliance.	Operation develops, documents and implements a wash area control program. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

2.3.	Operation has documentation demonstrating regulatory approval of the wash water antimicrobials in use.	Only wash water antimicrobials or antimicrobial systems registered or approved by EPA, FDA or the prevailing regulatory agency for their specific intended use may be used in the dump tank wash water, on the spray line or other food contact purposes.	Auditor reviews documentation for appropriateness of use.	Operation obtains documentation or discontinues use of the antimicrobial system and implements use of appropriate antimicrobial system. Affected product is evaluated for potential contamination and disposition.
2.4.	If wash water antimicrobial is used, it shall be used in accordance with established operational procedure and manufacturer instructions.	Records shall be kept. Operation shall have a procedure that includes minimum limits for antimicrobial in wash water for food safety. Procedure shall include how to control, monitor and record use of wash water antimicrobial as needed to assure compliance with minimum limits. Operation shall have a procedure as to what corrective actions are taken if criteria are not met.	Auditor reviews operational procedures and antimicrobial use and corrective actions records for compliance.	Operation develops, documents and implements procedures for use of the antimicrobial system in compliance with manufacturer instructions. Affected product is evaluated for potential contamination and disposition.
2.5.	All instruments used to measure temperature, pH, antimicrobial levels and or other important devices used to monitor requirements in this section shall be calibrated at a frequency sufficient to assure continuous accuracy.	Records shall be kept. If an ORP system is used, an independent measurement shall be used to verify compliance. Test methods or test strips used to monitor requirements shall be appropriate to their use and sufficiently sensitive to their intended purpose.	Auditor reviews calibration and verification procedures and records.	Operation develops, documents and implements calibration and verification procedures and records.

2.6.	Foreign material control devices are inspected and maintained	If included in the Food Safety Plan, foreign material control devices shall be included as part of a Preventive Maintenance Schedule or other program and maintained to ensure effective operation. Calibration checks shall be performed according to written procedure or manufacturer's recommendations.	Auditor inspects any foreign material control devices and maintenance and calibration check records for compliance.	Operation develops written procedures for inspection, calibration checks and maintenance of foreign material control devices. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.	**Transportation (Packinghouse to Customer)**			
3.1.	Temperature Control			
3.1.1.	There is a written policy for transporters and conveyances to maintain a specified temperature(s) during transit.	When refrigerated transport is required for food safety, transporters have written, predetermined temperature ranges for commodities being transported.	Auditor reviews documentation of predetermined temperature ranges.	Operation develops, documents and implements temperature range requirements.
3.1.2.	Prior to loading, the vehicle shall be pre-cooled.	When refrigerated transport is required for food safety, the proper temperature for pre-cooling is appropriate to the type of produce and as specified by documented protocol.	Auditor reviews documented protocol, shipping checklist records, and observes vehicles during loading for compliance.	Operation develops, documents and implements vehicle cooling requirements.
3.1.3.	The refrigerated transport vehicles shall have properly maintained and fully functional refrigeration equipment.	When refrigerated transport is required for food safety, Operation has a written policy that refrigerated transportation equipment shall be controlled by a thermostatic device as necessary to maintain temperatures in the cargo area for the particular type of produce being transported and as specified by documented protocol.	Auditor reviews written policy and observes refrigerated transport vehicles in use at the time of the audit.	Operation develops, documents and implements a policy. Retraining is performed and documented.
3.1.4.	Where required, temperatures of product are taken and recorded prior to or upon loading.	When refrigerated transport is required for food safety, Operation has a written procedure for when and how to measure product temperatures prior to or during loading	Auditor reviews written procedure and observes temperature monitoring procedures during loading	Operation develops, documents and implements a policy. Retraining is performed and documented.

3.2.	Equipment Sanitation and Maintenance			
3.2.1.	The Operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	Shipping units shall be clean, functional and free of objectionable odors before loading, in compliance with current industry practices or regulatory requirements for that commodity. Refrigeration units, if used, must be in working order. Procedures include prohibition of raw animal or animal product transport, or other materials that reasonably may be a source of contamination with biological, chemical or physical hazards. Shipping units shall be washed between loads if prior transport included materials that reasonably may be a source of contamination. A responsible individual shall sign or initial the completed checklist or inspection report.	Auditor reviews cleaning procedures and inspection records and inspects produce transport vehicles for cleanliness.	Operation develops the policy and written procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.2.2.	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.	Personnel responsible for the loading and unloading of produce shall take steps to minimize the potential of physical damage to produce, which can introduce and/or promote the growth of pathogens. Loading/unloading equipment shall be clean and well maintained and of suitable type to avoid contamination of the produce.	Auditor observes loading/unloading procedures for evidence of practices that result in excessive damage to produce. Auditor observes loading/unloading equipment for suitability and condition.	Operation revises procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.2.3.	Trash shall not come in contact with produce.	Trash handling and removal shall not pose a hazard of contamination of produce.	Auditor reviews trash handling procedures for operation, and observes trash handling practices for evidence of compliance.	Operation revises procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

Standard Operating Procedure Template

Farm Name:

Farm Owner:

Food Safety Program Manager Signature:

Farm Address:

Farm Total Acres:

Total Acres in Vegetable Production:

Standard Operating Procedures

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Farm Food Safety Policy

We are committed to food safety on our farm. We do this by following the standard operating procedures in this template. Everyone who works or helps on the farm is trained with the food safety practices that pertain to the work or it is is verbally communicated to them.

Senior Management Signature:_____

Management Responsibility

Each farm has a primary and alternate manager for the oversight of their food safety program. That person enters farm specific information into the template provided, is responsible for regular food safety training of farm workers and filling out records. Twenty-four hour emergency contact information for primary and alternate manager is listed in the Traceability and Recall Policy. The roles and responsibilities of the Food Safety Manager and alternate should be communicated to all farm workers.

All food safety records will be maintained for at least two years.

On-Farm Food Safety Manager:_____

In the absence of the On-Farm Food Safety Manager
will be responsible for the oversight of the farm's food safety program.

Disciplinary Policy for Food Safety Violations

If a farm worker violates food safety policies or procedures, the On-Farm Food Safety Manager will do the following:

1. Inform the worker of the violation and retrain them.
2. Identify product that was harvested or washed during the period of non-compliance.
3. Evaluate the product.
4. Dispose of any product that may be a food safety risk.
5. Document in the Corrective Actions Log.

Record:
Use the Corrective Action Log to document any food safety violations.

Crops Covered in Food Safety Plan:

All crops are included in the On-Farm Food Safety Program

Crops	Field#:

Annual Food Safety Plan Review

The food safety plan will be reviewed by the On-Farm Food Safety Manager annually by:

1. Complete, review and update both water and land/animal risk assessments.
2. Complete, review and update farm specific policies and procedures
3. Update list of crops

The On-Farm Food Safety Plan was completed as outlined above on:

Date:_____

Self- Audits

The farm will conduct an annual self-audit of the farm operation. The on-farm auditor is encouraged to use the applicable Food Safety Standard to document the audit and to note any required corrective actions.

On farm auditor: _____

The Internal Audit was completed on:

Date: _____

Traceability System

A documented traceability system is in place to locate contaminated product in the event of a recall. This system identifies the product, field, farm, inputs and customer it was sold to. All crop production fields are numbered with field numbers shown on the farm map.

Each packed case of produce will be labeled with the following:

- _____
- _____
- _____
- _____
- _____

Sales records specify the information above. Records of Quantity harvested, date harvested and field harvested are kept. Records of seeds, soil amendments, fertilizers, transplants, agricultural chemicals, homemade preparations, etc. are maintained in the approved suppliers list and input log.

Recall Program

The recall program outlines what the farm would do if a recall is needed. This recall procedure is to guarantee that contaminated product is removed from the market as efficiently, rapidly and completely as possible and can be put into action at any time. The program is tested with a mock recall/traceability exercise to confirm it works.

Recall Initiation:
The following are some examples of events that would initiate a recall:

- Intentional or unintentional contamination of product.
- Farmer suspects pesticide drift of an illegal or restricted chemical from a neighboring farm.
- Known or suspected contamination by a chemical, physical or microbiological hazard.
- Hazards including known infectious disease or blood contamination.
- Possible allergen contamination of product.

Recall Team:

Farm:
The individual on the farm responsible in the event of a recall is: _____
24 hour contact information: _____.

The individual named as alternate in the event of a recall in the absence of the above named individual is: _____
24 hour contact information: _____.

Mock Recall:

Each farm will have at least one person familiar with the recall procedure. A mock recall/traceability exercise will be performed at least once annually and will be documented in the Mock Recall Log. The goal of the mock recall/traceability exercise is to obtain 100% reconciliation of the product within ____ hours and to confirm the contacts are valid and reachable.

- The farmer will randomly pull a sales record from the previous 12 months.
- The farmer will fill out the step backward portion of the Mock Recall Log.
- The farmer will document they have on hand current recall contact information for their customer by filling out the step forward portion of the Mock Recall Log.

Records:
Use the Mock Recall Log to document the mock recall/trace exercise. Use the Harvest Log to document field numbers, dates and quantity harvested.

Corrective Actions

Corrective Action Procedure:

1. Non-conformance is identified by observation, audit or self-audit.
2. Farm manager or designated food safety manager determines what corrective action needs to be taken to correct non-conformance.
3. Corrective action documentation will list the non-conformance, corrective action, timeline for completion, date of completion, and person responsible for completing corrective action.

Record:
Use the Corrective Action Log as needed to document any corrective action

Risk Assessment on Prior Land Use, Pre-Harvest and Animal Activity

A prior land use and animal activity risk assessment will be completed annually prior to each growing season. The Pre-harvest risk assessment will be done prior to each day of harvest. During the pre-harvest risk assessment the producer will scout for any conditions that may result in chemical, physical or biological contamination of product.

Record:
Use the Pre-harvest Risk Assessment on the Harvest-Day Checklist and the Land Use and Animal Activity Risk Assessment to document your risk assessments.

Approved Supplier Policy

The farm has an approved supplier program in order to keep information about inputs and packaging used in produce production in case of a recall.

All packaging or raw materials (inputs) used in the production of produce will be recorded and maintained on the approved supplier list. Inputs include:

- seeds
- fertilizers
- pesticides
- sanitizers
- packaging
- _____
- _____
- _____

Record:
Use the Approved Supplier List to document approved supplier

Visitors

Visitors to the farm fields and packing shed will be instructed to follow the same personal hygiene policies as farm workers. Visitors will be accompanied by the farm manager, owner or a worker to verify that they do not compromise the safety of the food produced on the farm.

General Food Safety Handling Guidelines

Before an object touches produce, it must be in good working condition and cleaned and sanitized as outlined in the farm-specific standard operating procedures. This includes, but is not limited to, hands, harvesting tools, harvesting containers, transportation equipment, packing shed equipment (tables, cooling tubs, brush washers, scales) and storage equipment.

Worker Training

All workers including hired workers, family members, friends, volunteers, subcontractors etc. will be trained on the importance of good hygiene and sanitation techniques when working with and around produce. This training will include education of the sources and causes of contamination, hand-washing techniques, equipment sanitation, and other preventative measures.

Training materials that can be used:

- The farm's food safety plan
- Safety Data Sheets (SDS) and product labels
- Job duty specific training

Record:
Use the Worker Training Log to document the date of training and names of all attendees.

Toilet and Hand-Washing Facilities

Urinating, defecating and spitting are not allowed in any of the growing areas or packing shed. The farm will have at least one toilet facility easily accessible per 20 workers.

Clean and well-maintained toilet and hand-washing facilities are provided for all employees and visitors. This includes water with test results of no detectable *E. coli*, toilet paper, soap, and single-use paper towels. For farms using outhouses, hand washing stations will be located between the outhouse and the door to the packing house. All hand washing stations located inside or outside of the toilet facility will contain plumbing or will have a container that captures used hand wash water for disposal. Hand washing stations will also contain a single use hand towel disposal bin. The disposal of used toilet tissue on the floor, in trash cans or in boxes is not allowed.

A hand washing station as outlined above will be readily available to workers during field activities. A hand washing station will be available to workers inside or in close proximity to the packing facility so that it is readily available to packing shed workers if needed. Signs are posted adjacent to hand washing facilities to instruct workers and visitors to wash their hands.

The toilet and sinks will be serviced and cleaned on a scheduled basis and as needed during the produce season and that schedule will be kept on record. Supplies in the facilities (toilet paper, single-use paper towels and soap) are checked at least weekly and as needed; the information will be documented in a log.

Record:
Use the Weekly Checklist to document cleaning and stocking the toilet facilities.

Hand Washing

All farm workers and visitors must wash their hands before beginning work and returning to work, before handling produce, after taking breaks, after using the restroom, after eating and drinking, after smoking, after sneezing, coughing or using a handkerchief, after touching animals or otherwise compromising the sanitary nature of their hands.

Proper Hand Washing Technique:

Proper hand washing technique includes:

1) Wet hands with potable water, apply soap, and work soap into a lather.
2) Rub hands together for at least 20 seconds.
3) Clean under the nails and between the fingers.
4) Rub fingertips of each hand in suds on palm of opposite hand.
5) Rinse under clean, running water.
6) Dry hands with a single-use paper towel.

It is important to remember to wash hands after touching any potentially unsanitary surface. When possible, turn off the faucet with the single-use paper towel instead of directly with the hand.

Do NOT use a paper towel more than once or share towels with others.

Clothing, Footwear, Jewelry, and Hair Policies

Clothing:
Dirty clothing is a home for microorganisms that can be easily spread to hands and produce. Workers should begin produce work with clean clothing and should change clothing after working with animals and before handling produce. Personal items and non-essential clothing need to be stored outside of the food production area, in the house or in the break/eating area to minimize the risk of introducing microorganisms that could be carried on the clothing.

Footwear:
Working around equipment poses a safety risk and the threat of blood contamination of the work area. It is encouraged that all farm workers wear shoes in the packing shed.

Walking through compost or manure and entering the packing shed could be a risk to food safety by bringing in pathogens. To minimize risk, shoes or feet will be checked for contamination before entering the pack shed. Any contamination will be washed off before entering.

Jewelry:
Large chains and necklaces, bracelets and dangling earrings will not be allowed in the food production area for safety and hygiene reasons. Do not keep cell phones or other items in pockets where they are at risk of falling out. Items that *are* allowed:

- Wedding rings or other fairly simple rings
- Necklaces that stay covered by clothing
- Unobtrusive earrings that stay near the head and pose no risk of falling out
- Other concealed or covered jewelry

Hair:
Workers with long hair will wear it tied back. The use of hair coverings, hats, hair nets or beard nets is encouraged but optional.

Glove Use Policy

If gloves (rubber, disposable, cloth or other) are worn in contact with produce at any time during harvest or post-harvest operations, the farm is required to have a glove use policy that specifies how and when gloves are to be used, cleaned, replaced and stored. Before putting on gloves, hands must be washed. Gloves cannot be used to wipe clean produce. Any cloth used to wipe produce must be single- use.

Cross out any non-applicable practices below.

When and how gloves are used on our farm:

Disposable gloves are used to cover cuts and bandages.

Disposable or reusable gloves are used for harvesting.

Disposable or reusable gloves are used for chemical application.

When and how gloves are cleaned on our farm:

Disposable gloves are thrown away each day, between tasks and when they are dirty.

Reusable gloves are washed when they get dirty.

When and how gloves are replaced on our farm:

A new pair of disposable gloves is used for each new task.

Reusable gloves are replaced when they no longer protect hands.

When and how gloves are stored on our farm:

Disposable gloves are stored _____

Reusable gloves are stored _____

Personal Protective Equipment (PPE) Policy

If protective clothing (aprons or goggles, etc.) is used in post-harvest operations it is stored on racks or storage containers that keep it in a designated area out of the product flow zones such as: on product, work surfaces, equipment, or packaging. PPE must be removed before workers use the toilet facilities.

PPE used for chemical or nutrient application will not be stored in the packing facility.

Cross out any non-applicable practices below. Add any other PPE used.

When and how PPE is used on our farm:

Aprons are worn when mixing chemicals.

Goggles are used when mixing chemicals.

When and how PPE is cleaned on our farm:

Aprons are washed with soap and water when they become dirty.

Goggles are washed with soap and water when they become dirty.

When and how PPE is replaced on our farm:

Aprons are replaced when they no longer offer protection.

Goggles are replaced when they no longer protect the eyes.

When and how PPE is stored on our farm:

Aprons are stored away from open product and located _____

Goggles are stored away from open product and located _____

Eating, Smoking and Chewing

Eating: Eating is only allowed in designated areas.

Smoking: No smoking is allowed in the fields or packing shed. Visitors will be asked to refrain from smoking or only smoke in designated areas.

Chewing: Chewing (gum, tobacco, food etc.) is not allowed in the fields or packing shed.

Worker Break Policy

Breaks:
Lunches must be eaten and breaks should be taken only in designated areas. In the field, this area would generally be at the field margin or near the vehicle field entrance.

Drinking Water:
Potable drinking water will be made available to all field and packing shed workers. Reusable drinking water containers will be made of resilient, capped plastic or metal. Alternatively, single use cups and a trash receptacle will be made available to workers. Under no circumstances may glass water containers be used in or immediately next to the fields or in the packing shed.

Potable water is always available at _____.

Blood and Bodily Fluids:

Refer to Contamination Emergency Plan for Fields and Packing Shed.

Illness:

Any worker who is sick will notify the farm owner immediately and will not handle fresh produce or food contact surfaces.

1) Workers will report to the farm owner if they have any of the following symptoms:
    - Diarrhea
    - Fever
    - Vomiting
    - Jaundice
    - Sore throat with fever
    - Lesions containing pus (including boils or infected wounds, however small) on the hand, wrist, or any exposed body part

2) Individuals who are exhibiting mild symptoms but are still healthy enough to work will be allowed to do so without contact of produce or food contact surfaces.

3) If jobs where workers don't contact produce are not available or the worker is too sick to work, that worker will be sent home.

First Aid Procedures:

First aid kits must be readily available to workers in the field and packing area. All farm workers will be notified of the location of the first aid kit. The supplies will be checked and updated on a scheduled basis and as needed.

If a person is injured, s/he will immediately stop work and cover her/his injury with supplies in the first aid kit, no matter how minor, before returning to work to preserve the health and well-being of the worker and to minimize the risk of contamination to the produce. Workers with minor cuts or abrasions on exposed body parts will be allowed to continue with work if they cover the wound with a non-permeable covering, bandage or glove.

Record:

Use the Monthly Checklist to document checking and stocking the first aid kit as needed.

Agricultural Chemicals

Chemicals and materials used are listed in the Approved Suppliers List

Dedicated farm workers will be trained to properly handle any approved chemicals or other input materials used on the farm. All agricultural chemicals will be used according to the label instructions. Training will include:

- General use directions
- Review of the Safety Data Sheets for each chemical used on the farm
- Instructions on mixing and spraying for labeled crop and pest/disease
- Personal protective equipment that is required during use
- Worker protection standards
- Storage and container disposal
- What to do in case of a spill

Personal Protective Equipment listed on the label will be worn when handling chemicals.

Overhead spray water used to apply agricultural chemicals directly to edible portion of the crop will have a test result of no detectable *E. coli.* Treated water may be used according to agricultural chemical label and water sanitizer label.

Spray Equipment Cleaning:
Spray equipment will be cleaned well away from packing facility and field so that there is no danger of contamination of product.

Record:
Use the Farm Input Log to record inputs used in the operation. Use the Worker Training Log to document worker training on chemical use.

Water System Description

The farm will develop a water system description as appropriate for the operation (map, photograph, drawing or other) that contains the following:

- water sources (streams, ponds, springs, wells, captured water)
- permanent fixtures (windmills, reservoirs, cisterns, holding tanks, valves, returns, backflow prevention, above ground plumbing)
- the flow of the irrigation water system – sources and the production fields they serve
- the flow of the packing house water system – sources and the facilities they serve

Water System Risk Assessment

The farm will conduct an initial water system risk assessment that takes into consideration the testing results of the water, the characteristics of the crop, the stage of the crop and the method of application. This risk assessment shall be conducted annually and any time there is a change made to the system.

Water Management Plan

After conducting the initial risk assessment, the farm shall create a water management plan using the template below to mitigate the risks associated with the water system. This plan will include preventative controls, monitoring and verification procedures, corrective actions and documentation. Some items have already been noted below.

Preventative Controls (Controls used to prevent water from being a risk):

1. Cleaning out water lines/hoses
2. Cleaning holding tanks
3. Cleaning faucet head
4. Have covers on water tanks
5. List additional preventative controls below:

Monitoring Procedures:

1. Sanitizer in produce wash water will be monitored according to the procedure outlined in the Wash Water Sanitizer Use procedure.
2. Water testing as outlined in the Water Testing procedure.
3. The farm inspects the water source and distribution system (spring box, holding tank, well lid, backflow devices, hoses, pipes, sprinkler heads etc.) with the following frequency:_____
4. Add additional procedures below:

Corrective Actions will be documented on Corrective Action Log.

Records:
The farm documents water quality with water testing and Peracetic Acid Use Logs.

Water Testing

Source water used for hand washing, washing produce, surface sanitation and drinking must have a water test result of no detectable *E. coli or* treated water is used. For farms using municipal water, records from the municipality shall be kept. If water tests are collected by the farm, they will be collected following a sampling procedure that will include who will take the samples, the source of the sample, and the tests performed. Testing shall be performed by a Good Laboratory Practices compliant laboratory using validated methods.

Sampling Procedure:

Tests are taken by:_____

Source:_____

Test type:_____

Procedure: Run water for ten minutes. Torch or use disinfecting wipes to sanitize the spigot. Turn water back on for another two minutes after sanitizing. Completely remove seal from your sample bottle. You will need to completely fill the sample bottle to ensure there is enough water in there for the lab to do the test. Screw the lid back on the sample bottle. Place sample bottle in cooler of ice.

Food Contact Surface Water

According to the Food Safety Modernization Act, untreated open source water will not be used for harvest and post-harvest activities. Water with a test result of no detectable *E. coli* or treated water needs to be used for mixing chemicals, washing produce, hand washing, and all food contact surfaces. There will be 4 water tests taken throughout the first growing season of producing produce to establish baseline results. When all 4 water test results indicate no detectable *E. coli*, one water test will be taken in following years. If one or more water test results have detectable *E. coli*, the farm will need to implement corrective actions until the water test results are no detectable *E. coli*. Testing will resume until four test results with no detectable *E. coli* are obtained over a year. Tests should be taken as close as practical to the growing season before harvest.

If different water testing procedure is used, explain below:

Food Contact Surface Water Corrective Actions:

- Discontinue use until it returns to compliance.
- Examine the water source and distribution system to determine if a contamination source is evident and can be eliminated.
- For wells, perform a sanitary survey and/or treat the well, cistern and plumbing.
- After sanitary survey or remedial actions have been taken, retest the water.
- List additional corrective actions below:

Open Source Irrigation Water

According to the Food Safety Modernization Act If the edible portion of the crop could come in contact with the irrigation water: There will be 20 water tests taken over a 2-4 year period to establish a Water Quality Profile. 5 or more tests will replace the oldest test results in the Water Quality Profile every year thereafter.

According to the Food Safety Modernization Act, if the edible portion of the crop will never come in contact with the irrigation water: There will be no water tests needed. Special care needs to be taken to make sure there is no pooling, flooding, spraying, etc. of irrigation water onto the edible portion of the crop.

If different water testing protocols are used, explain below:

Open Source Irrigation Water Correction Actions:

- Discontinue any agricultural production use until the system returns to compliance.
- Examine the water source and distribution system to determine if a contamination source is evident and can be eliminated.
- Retest the water at the same sampling point.
- If sample still does not meet the acceptable criteria either:
    - Apply a time interval (in days) between last irrigation and harvest using the microbial die-off rate chart below.
    - Re-inspect the water system, identify problems, and make necessary changes and confirm effectiveness
    - Treat the water
- List additional corrective actions below:

Pre-Harvest Risk Assessment

A pre-harvest risk assessment, found on the harvest day checklist, should start before harvest begins. Paying attention and noting any signs of wild and domestic animal activity, physical hazards (glass, plastic, etc.) and chemical hazards (leaking oil) are important to prevent field contamination. In addition to observing these hazards during daily farming practices, inspection of the fields and/or fence lines will be conducted and include:

- Walking through the fields to see if there are any noticeable signs of animal presence, chemical hazards, or physical hazards.
- Physical hazards and trash will be removed from the field and affected produce will be evaluated.
- Making sure there are no places where animals are clearly entering and exiting the fields.
- Observing where fence lines that separate livestock and produce may need repair.
- Crop production areas that are next to livestock production areas will be inspected for possible run-off and appropriate mitigation steps will be taken.
- Use Corrective Actions Log to record items above.

Record:
Use the Harvest-Day Checklist to document the Pre-harvest Risk Assessment.

Soil Amendments

Raw manure:
Raw manure is applied and incorporated AT LEAST 90 days before harvest for product whose edible portion does not contact the soil or 120 days before harvest of a product whose edible portion contacts the soil.

If properly composted or heat treated manure is applied within 90/120 days of harvest, records are maintained by the farm or on file from the supplier verifying that the compost has been treated to reduce the number of pathogens in the material to be safe for vegetable production.

Compost:
If storing compost or raw manure prior to application, the pile should be handled to reduce the chance of runoff, leaching, wind spread, or recontamination.

Draft horses:
If draft horses are used in the field, dedicated field lanes are used during harvest to minimize potential of contamination. If applicable, draft horses may drive over already harvested product if product will not be harvested again. Should the horse deposit manure in the harvest lane or in the field within 90/120 days of harvest, the manure will be removed. If manure comes in contact with any produce, the manure and affected produce will be immediately removed from the area and disposed of.

In order to prevent any contamination of the crop production fields, the crop production fields must have adequate buffers with any dairy or other livestock pastures and livestock facilities.

Record:
Keep on file records or documentation that compost or heat treated manure has been properly handled to reduce pathogens.

Contamination Emergency Plans for Fields and Packing Facility

Blood and Bodily Fluids in the Field or Packing Facility:
If there is blood in the field, all contaminated surfaces, including produce and soil, will be put in a plastic bag and a trash can with a lid. If that person is not able to immediately deal with the contamination, that person will mark the area and immediately notify the farm owner, who will take appropriate action.

If there is blood in the packing facility, all contaminated surfaces and equipment will be washed and sanitized before continuing with packing procedures. Contaminated packaging and product will be destroyed.

Broken Glass:
Broken glass should be placed in a cardboard box that is sealed or a plastic bag, and placed in a secure trash can. Product will be monitored for glass during harvest, wash and pack.

Flooding:
Flooding is the overflowing of a field with water outside a grower's control that is reasonably likely to contain sewage, animal waste, heavy metals, harmful microorganisms or other contaminants that may cause contamination of edible portions of the produce. If flooding should occur, the farmer will conduct a risk assessment of the production area to determine mitigation steps.

Sewage System and Outhouses:
The farm sewage treatment system must be working properly and there is no evidence of leaking or runoff. Additionally, the farm is not located adjacent to a municipal or commercial sewage treatment facility or landfill.

If a significant event (such as flooding or an earthquake) occurs that negatively impacts a sewage system or outhouse, appropriate steps are taken to ensure no contamination is present in the fields or packing facility.

Human waste from outhouses or pit privies will be handled according to state and county guidelines.

Procedure for Septic or Sanitation Hazards in the Field:
In the case of any septic leakage occurring in or near field boundaries, the following clean-up steps will be performed:

1. Any affected produce is immediately disposed of in a covered waste bin.
2. The contaminated area will be marked off with caution tape or string.
3. Signs will be posted at the perimeter prohibiting entry to the contaminated area.
4. People and animals will be kept out until the area is sufficiently decontaminated.
5. Any solid waste still resting on the surface will be collected, shoveled up, and removed to the waste bin.
6. Any affected permanent structures will be hosed off and disinfected.

The spillage event and corrective actions will be written down in the Corrective Action Log and kept on record.

Fuel Storage:
Fuel is stored away from all fields and the packing facility. All refueling must take place away from produce fields to minimize the risk of fuel contamination to the fields and produce.

What to do if a spill occurs:
Know your County and State requirements on how to handle agricultural spills. Know the contact information to report spills.

Vehicles in the Production Fields

Vehicles and wagons will be driven or parked in dedicated field lanes. All vehicles will be inspected prior to entering the fields. Inspections will include:

- interior and exterior cleanliness
- no broken or cracked plastic or glass windows, fixtures, covers, or other parts
- no dripping oil, anti-freeze, fuel products, automotive lubricants, or other fluids

The farm will document traffic flow on the farm map and take caution that vehicles and equipment do not travel through untreated manure into the harvesting field. As considered necessary by the farm, produce transported on open, flat-bed wagons or other vehicles will be covered with clean covers to protect against contamination from birds, road dust or sun damage.

As necessary, the farm will develop the following Standard Operating Procedures for cleaning and maintaining vehicles used in produce production. Water used for cleaning/sanitizing will be from the potable source. Cleaning and sanitizing protocol will not contaminate other equipment or product:

Cleaning procedure for all vehicles/equipment used to transport produce

List vehicle(s)/equipment used to transport produce:

List person responsible for cleaning produce transport vehicle(s)/equipment:

List materials used to clean produce transport vehicle(s)/equipment:

Procedure for cleaning produce transport vehicle(s)/equipment:

Sanitation procedure for any vehicles or equipment used whose surfaces come into direct contact with the product

List vehicles/equipment whose surfaces contact produce:

List person responsible for cleaning vehicle(s)/equipment whose surfaces contact produce:

List materials used to clean vehicle(s)/equipment whose surfaces contact produce:

Procedure for cleaning vehicle(s)/equipment whose surfaces contact produce:

Maintenance procedures for all mechanized harvest equipment and motorized vehicles

List all mechanized harvest equipment and motorized vehicles used for produce production:

List person responsible for maintaining mechanized harvest equipment and motorized vehicles used for produce production:

List materials used for maintenance of mechanized harvest equipment and motorized vehicles used for produce production:

Procedure for maintaining mechanized harvest equipment and motorized vehicles used for produce production:

Record:
Use the Maintenance Log to schedule and document repair as necessary for all vehicles used to transport produce. Use the Harvest Day Checklist to document vehicle cleaning.

Harvesting Containers, Carts, and Tools

A list of all carts, containers, tools, equipment and vehicles and other items that may come into direct contact with produce will be maintained. All equipment, containers and tools that touch produce will be made of materials that can be cleaned and sanitized.

Temporary repairs made to any food contact surface will be constructed of food-grade material.

Harvest Containers (Totes, Bins, Buckets etc.):

The harvest containers will be inspected, cleaned (if necessary), and in good repair prior to use. Harvesting containers will be cleaned and sanitized before each harvest season and more frequently as needed. Dirt and other debris are not permitted to accumulate in any harvest container. Only approved and acceptable harvest containers will be used by the operation.

The farm will schedule repair as necessary for all harvest containers, totes, bins, carts and wheelbarrows used and will document repair in the Repair Log.
During the harvest season, harvest containers will not be used for anything but produce. When a harvest container is used for another purpose it must be clearly marked or color coded.

Harvest carts or wagons will be inspected before use for cleanliness. The harvest carts or wagons used for carrying produce out of the field will be cleaned weekly or more frequently as needed. Harvest cart/wagon cleaning and inspection will be recorded.

Harvest containers not in use will be stored in a clean, secure location.

The farm will develop the following Standard Operating Procedures for cleaning, sanitizing and storing harvest containers. Water used for cleaning/sanitizing will be from the potable source. Cleaning and sanitizing protocol will not contaminate other equipment or product:

Cleaning and sanitizing procedure for all harvest containers that come into direct contact with product including harvest totes, bins, carts and wheelbarrows

List all produce harvest containers:

List person responsible for cleaning harvest containers:

List materials used for cleaning harvest containers:

Procedure for cleaning harvest containers:

Storage and handling procedure for all harvest containers that come into direct contact with product including harvest totes, bins, carts and wheelbarrows

List locations and methods for storing all harvest containers:

Harvesting Tools:
All harvesting tools, such as knives, scissors, pruners and other cutting tools used to aid packaging must be cleaned, sanitized and allowed to air dry before harvest. These items should not be wiped dry with cloth towels or gloves, but should be allowed to air dry. This practice will be recorded.

The farm will develop the following Standard Operating Procedure for cleaning and sanitizing tools and utensils. Water used for cleaning/sanitizing will have a test result of no detectable *E. coli* or be from a treated source. Cleaning and sanitizing protocol will not contaminate other equipment or product:

Cleaning and sanitizing procedure for all tools and utensils that come into direct contact with product

List all tools and utensils:

List person responsible for cleaning harvest tools and utensils:

List materials used for cleaning harvest tools and utensils:

Procedure for cleaning harvest tools and utensils:

Pallets and packaging:
Pallets and packaging will be inspected, cleaned (if necessary), and in good condition prior to use. Packaging is stored, covered (for example with a cardboard slip sheet, shrink wrap or a clean tarp) and isolated to minimize access by rodents or birds or contamination by dirt or dust and will be stored a reasonable distance away from the walls. Only packaging that does not pose a risk of cross-contamination will be used to pack product. Packaging should never come in direct contact with the packing facility floor or storage facility floor.

If packaging comes into direct contact with the soil, explain procedure below:

Records:
Use the SOP Template to create procedures as needed for the operation. Use the Equipment List to list all equipment and vehicles used in the operation. Use the Harvest Day, Weekly, and Monthly Checklists to verify vehicles, tools, containers etc. are clean.

Packing and Storage Facilities

In order to minimize microbial contamination the packing and storage facilities will be accessed by authorized and trained personnel only. All guests must be authorized to enter the packing and storage facilities.

Workers will not walk or lie on harvested produce, food contact surfaces or packaging materials. When harvesting during particularly muddy conditions, reasonable efforts are taken to remove or reduce excessive dirt and mud from the produce and harvest containers before entering the packing facility.

Cleaners and sanitizers used on food contact surfaces including equipment, tools, utensils and containers must be labeled for use on food contact surfaces. Only food-grade lubricants are to be used on food processing and packaging equipment. Chemicals that are not food grade or approved for use on food contact surfaces must be stored in an area outside of the packing and storage facilities. All chemicals should be stored away from the product flow lanes. Leaks need to be fixed or contained in order to prevent product contamination. Cleaning equipment, utensils and tools will be stored away from product flow zones and maintained so they are not a source of contamination.
Before the start of the season, the packing and storage facility shall be cleaned and the pre-season cleaning log shall be completed. The packing and storage facilities will be clean and

orderly before and after use. On washing and packaging lines within the packing and washing facilities, trash, leaves, culls etc. need to be removed from area often enough to avoid contamination. Food contact packing equipment (brush washer, dunk tank etc.) are installed away from walls to be able to clean around them. A thorough cleaning of the packing and storage facilities will be done on a scheduled basis which can be found on the Harvest Day, Weekly and Monthly Checklists.

Each harvest day, packing areas, including the washing, grading, sorting and packing lines are cleaned and sanitized and drains maintained. Brush washers, scales, packing tables, etc. should not be wiped dry with cloth towels or gloves, but should be allowed to air dry

Records:
Use the Pre-Season cleaning log to document cleaning the packing and storage facilities before the start of the season. Use the Harvest-Day and Weekly Checklist to document cleaning of Packing and Storage Facilities. Use the Glass Register to list all brittle plastic or glass used in the packing shed or on equipment used in the field

Dropped Produce:
Any produce that has dropped to the ground before harvest, is damaged, or has signs of decay will not be harvested. Additionally, any product that comes into contact with the ground during transport from the field to pack shed will be thrown away. Produce that drops to the pack shed floor will also be thrown away.

Storage Facility:
Materials and packaging materials need to be stored off the floor/ground on pallets, slip-sheets or stands and covered if needed. There also needs to be enough space between rows of stored material, walls, and ceilings to allow proper cleaning, inspection and pest monitoring.

Washing/Packing Line:
The best way to reduce pathogens is to keep them off the produce in the first place. Once a product is contaminated, it is very easy for this contamination to be transferred. Source water used for washing or as a means of disinfecting produce must have a water test with results of no detectable *E. coli* or a treated water source. Copies of water test results are obtained annually and kept with the water records. **Surface water (ponds, lakes, streams, etc.) cannot be used for washing produce.** Peracetic acid wash water additive must be used in the final water contact step whenever produce is washed.

Allergens:
If Allergens are stored within the packing facility, or shipped on the same load of produce, explain allergen control program below:

Wash Water

Batch Systems (Dunk Tanks):
1. For each crop washed in the dunk tank, a wash water antimicrobial needs to be added. The farmer needs to determine how often they should change the water in their dunk tank during the harvest day and how often they need to use the test strips to test the effectiveness of wash water antimicrobial. The water change frequency and length of time wash water antimicrobial continues to work will vary significantly depending on how dirty the crop is.

2. For root crops, hose off the majority of the soil in the harvest container before adding the produce to the dunk tank.

3. Ensure that water is mixing in the dunk tank.

4. Add wash water antimicrobial at the rate indicated on the label instructions.

5. Measure the concentration in the water using a testing method. Record result. Adjust dose as needed. Retest if adjustments are made.

6. Continue to test and record results between batches.

7. Change water batch and add fresh wash water antimicrobial when water is dirty according to the frequency determined in number 1.

Continuous Dosing (Brush Washer):
1. Meter wash water antimicrobial at the rate indicated on the label instructions. Measure the wash water antimicrobial concentration in the water using a testing method. Record result. Adjust dose as needed. Test and record results at the beginning of each production day.

Minimum Wash Water Sanitizer Contact Time:
Make sure vegetables are sprayed or submerged in the wash water sanitizer/water solution for the minimum contact time indicated on the label instructions, followed by adequate draining. The treated produce should be drain dried without a water rinse.

Hydro-cooling:
Cold water (hydro-cooling) is often used to reduce the temperature of a product. Water used for this must be no detectable *E. coli* or water from a treated source. In order to reduce the risk of food contamination. Whenever product is hydro-cooled in a batch system, wash water sanitizer additive must be used. If ice is used it must be made from water having a test result of no detectable *E. coli*. Iced product stored above food items must have preventative measures taken to reduce contaminating product below.

The farm will develop the following Standard Operating Procedures for produce wash equipment. Water used for cleaning/sanitizing will have no detectable *E. coli* or be from a treated source. Cleaning and sanitizing protocol will not contaminate other equipment or product:

<u>Cleaning and sanitizing procedure for dunk tanks, brush washer and other produce wash equipment</u>

List all produce wash equipment:

List person responsible for cleaning produce wash equipment:

List materials used for cleaning produce wash equipment:

Procedure for cleaning produce wash equipment:

Cleaning procedure for water tanks used to hold water that comes into direct contact with the produce

List all produce water tanks:

List person responsible for cleaning water tanks:

List materials used for cleaning water tanks:

Procedure for cleaning water tanks:

Cleaning and sanitizing procedure for produce wash water lines

List all produce wash water lines:

List person responsible for cleaning wash water lines:

List materials used for cleaning wash water lines:

Procedure for cleaning wash water lines:

Record:
Record water change frequency and test strip use frequency on the Wash Water Sanitizer Use Log. Use the Wash Water Sanitizer Use Log to document amount of wash water sanitizer used and results of the test strips.

Rodent and Pest Control

Farm operations are inevitably subject to animal and pest infiltration. Pets and other domestic animals are strictly forbidden to enter the packing shed and fields in order to limit the risk of contamination by feces, urine, saliva etc.

The grounds around the packing and storage facilities will be reasonably free of equipment, litter, vegetation, waste culls, manure, debris and standing water. Outdoor garbage receptacles have lids and are located away from the packing facility entrance.

Equipment stored outside needs to be stored away from the building perimeter and should not accumulate near the building. Special attention will be paid to the packing and storage facilities for pest and rodent infiltration. Only non-toxic traps and controls are used in pack shed and storage areas. Traps and other methods of control will be inspected on a regular basis. Workers will be diligent in reporting any signs of infestation in the field or packing and storage areas. If pests and rodents become a problem, a plan to deal with the gaps, cracks and holes in the affected facility will be developed.

All traps will be checked and documented when harvest begins and in storage areas once crops are being stored.

Record:
Use the Weekly Checklist to document checking the pest traps.

Waste Management

Operation shall remove all trash, litter and waste from packinghouse and field and put items into the acceptable container or location at the end of the workday or as needed. Trash, recycling and compost containers shall be maintained and located so as not to be a source of contamination for field, packinghouse, food contact surfaces, water sources and water distribution systems. Examples of trash, litter and waste include

- Plastic
- Packaging waste
- Product Culls
- Product trimmings
- Dirt
- Wash Water

Loading Delivery Trucks

Before produce is loaded onto a delivery vehicle:

- Equipment will be clean, free of debris and sanitized (when necessary).
- There are no odors present.
- A clean tarp must be placed on the floor or bed of the vehicle if containers are not on a pallet.
- Loading and unloading of product should be done carefully so there is less risk of damage.
- When refrigerated trucks are used, proper transport temperatures, as appropriate for the crop, will be maintained to ensure the quality and safety of the product.

Record:

Use the Harvest Day Checklist to document cleaning the delivery vehicle.

Land Use and Animal Activity Risk Assessment Log

Name of farm: _____

This evaluation should be completed yearly before planting or as changes are made to the farm or production practices.

Task	Yes or No	Observations	Corrective Actions	Date	Initials
Are there any current or previous land uses that may represent a risk of contamination to fruit and vegetable production?					
Is there potential physical, chemical or biological contamination of the greenhouse? Consider previous use history and adjacent land use.					
Have there been any significant changes to land use this year (e.g. addition of grazing animals, field location changes)?					
Have neighboring properties changed or added activities that might affect fields and water sources (e.g. animals, manure or compost storage)?					
Has there been any runoff from compost and manure storage areas, animal pens, or grazing areas?					
Are animals or animal pastures located up slope from produce fields and packing areas?					

Modified from: On-Farm Decision Tree Project: Land Use—v5 07/02/2014
E.A. Bihn, M.A. Schermann, A.L. Wszelaki, G.L. Wall, and S.K. Amundson, 2014 www.gaps.cornell.edu

Land Use & Animal Activity Risk Assessment Log (cont.)

Task	Yes or No	Observations	Corrective Actions	Date	Initials
Are there nearby bodies of water or other riparian areas where animals gather that represent significant risks to the crop?					
Are there lands close by with significant numbers of wildlife that may gain access to production land?					
Has the land being planted recently been grazed by domestic animals?					
Are there any fences, barriers, or deterrent methods in place to reduce or prevent entry of animals and significant risk to the crop?					
Were there any flooding events this year or last year?					

Land Use & Animal Activity Risk Assessment Log (cont.)

Task	Yes or No	Observations	Corrective Actions	Date	Initials
Have you inspected your septic tank and leach field to make sure they do not lead to contamination of produce fields?					
Are portable toilets and handwashing stations used in the field functioning properly (i.e. no leaks or spills) and located away from produce growing and handling areas?					
Have there been any treatments or chemical applications to the land that may pose a risk to food safety?					
Has fecal contamination or damage to crops by wildlife or domestic animals been an issue in the past year? (Check *Wildlife and Domestic Animal Activity Logs*)					

Reviewed by:_____Title:_____ Date: _____

Modified from: On-Farm Decision Tree Project: Land Use—v5 07/02/2014
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On Farm Water Risk Assessment

Farm Name: _____ Date Created: _____ Type of Crops Produced: _____

Water Source	Risk Identified	Yes/No /NA	Observations	Corrective Actions	Date/Initials
Type of surface used to irrigate: _____ (pond, stream, spring, creek, lake etc.)					
Crops Irrigated: _____					
Surface Water	Livestock access including uncontrolled and domestic animals used in farming operations				
Surface Water	Uncontrolled wildlife access				
Surface Water	Surface run off during times of storms or melting				
Surface Water	Irrigation water is applied by drip, trickle, flood or overhead irrigation				
Surface Water	Irrigation water applied close or at the development of the edible portion of the crop at time of harvest?				
Surface Water	Pit outhouse is located 50 feet away from the location of the irrigation water source.				
Surface Water	Sanitary condition of the irrigation water holding/storage tank addressed.				
Surface Water	If a gas engine is used for pumping water: A drip pan is used and gas is stored in a safe manner to prevent irrigation water contamination.				

A review or new assessment shall be conducted seasonally and at any time there is a change made to the system or situation occurs that could introduce an opportunity to contaminate the system.

On Farm Water Risk Assessment

Surface Water	Sanitary condition of the irrigation hoses addressed.				
Surface Water	Are human and animal waste water systems separate from the irrigation water system				
Surface Water	Irrigation water tests meet FSMA standards (GM-126 or less and STV-410 or less)				
Surface Water	Historical irrigation water testing results on file and accessible.				
Water Source	**Risk Identified**	**Yes/No**	**Observations**	**Corrective Actions**	**Date/Initials**
Type of Well: _____ (hand dug, drilled, sand point) Depth of Well: _____					
Well Water	Well cap is tight-fitting and vermin-proof				
Well Water	Potential for agriculture run off based on well location				
Well Water	Pit outhouse is located 50 feet away from the location of the well.				
Well Water	Septic system close to the location of the well				
Well Water	Waste removal from outhouse. Are practices for removal acceptable and sanitary?				
Well Water	Sanitary condition of the well water holding/storage tank addressed				
Well Water	Sanitary condition of the well water hoses addressed				

A review or new assessment shall be conducted seasonally and at any time there is a change made to the system or situation occurs that could introduce an opportunity to contaminate the system.

On Farm Water Risk Assessment

Well Water	A backflow prevention device is installed and properly functioning.				
Well Water	Are human and animal waste water systems separate from the well water system				
Well Water	If a gas engine is used for pumping water: A drip pan is used and gas is stored in a safe manner to prevent well water contamination.				
Well Water	Safe well water test on file. <1 coliform, <1 E. coli, <10 Nitrates				
Well Water	Historical well water testing results on file and accessible.				

Food Safety Manager Signature (approval) _____Date_____

A review or new assessment shall be conducted seasonally and at any time there is a change made to the system or situation occurs that could introduce an opportunity to contaminate the system.

Approved Supplier List

A complete list of products and materials used in our production along with supplier source

Supplier	Product/Material

Vehicles, Equipment, Tools and Utensils

A list of our vehicles, equipment, tools, utensils etc. that may contact produce

Item	Location

Glass Control

A list of our glass and brittle plastic items used on our farm and where they are located

Item	Location

Mock Recall Log

Name of operation: _____ Conducted by: _____ Date: _____

Recall Scenario (reason for recall): _____

Time Started: _____ Time Ended: _____

Please see the food safety plan for overall trace back procedures.

Step backward						
Lot #	**Item**	**Field of origin (#)**	**Number of Cases**	**Harvest date**	**Packing date**	**Shipping date**

Seed Source:	**Seed Variety:**	**Inputs used on field:**
Additional information about the selected lots:		

Step forward			
Customer	**Date**	**Contact Information Verified (y/n)**	**Additional Information**

Reviewed by: _____ Title: _____ Date: _____

Worker Training Log

(Once Annually)

Date and Time:_____

Trainer:_____

Location:_____

Length of Training:_____

Training materials used: _____

Worker Name (Please Print)	**Worker Signature**	**Topic(s) Covered** (Field, Packshed, Chemical, Other)